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**For:** Method and Apparatus for Communication Network Cluster Formation and  
Transmission of Node Link Status Messages with Reduced Protocol Overhead Traffic

Enclosed are:

New Patent Application including:  
Forty-six (46) Pages of Specification; and  
Ten (10) Sheets of Drawings.

Declaration and Power of Attorney (2 Pages);

Check No. 4287 in the amount of \$1,544.00 in payment of the filing fee;

Assignment (1 Page);

Assignment Recordation Cover Sheet (2 Pages); and

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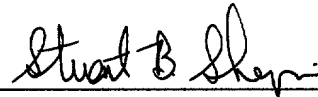
The filing fee has been calculated as shown below:

TOTAL CLAIMS	53	-	20	=	33	BASIC FILING FEE:	\$	710.00
INDEPENDENT CLAIMS	6	-	3	=	3	Extra x 18	=	\$ 594.00
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The Commissioner is hereby authorized to charge payment of any additional fees required  
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Respectfully submitted,

A handwritten signature in black ink, appearing to read "Stuart B. Shapiro", written over a horizontal line.

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Hand-delivered: November 13, 2000

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METHOD AND APPARATUS FOR COMMUNICATION NETWORK CLUSTER  
FORMATION AND TRANSMISSION OF NODE LINK STATUS MESSAGES WITH  
REDUCED PROTOCOL OVERHEAD TRAFFIC

CROSS-REFERENCE TO RELATED APPLICATIONS

This application claims priority from U.S. Provisional Patent Application Serial Nos. 60/164,955, entitled "Cluster Algorithm for Ad Hoc Wireless Network" and filed November 12, 1999, and 60/164,942, entitled "Routing Algorithm for Ad Hoc Wireless Networks" and filed November 12, 1999. The disclosures of those provisional applications are incorporated herein by reference in their entireties.

BACKGROUND OF THE INVENTION

1. Technical Field

The present invention pertains to communication systems. In particular, the present invention pertains to a wireless communication system utilizing network topology information to form clusters for data transmission by a minimal quantity of hops and without regard to initial start times of network nodes. In addition, the present invention pertains to a wireless communication system employing cluster formation to form a multiple tier network architecture and facilitate transmission of node link status messages with reduced protocol overhead traffic.

2. Discussion of Related Art

Generally, certain wireless networks, such as a cellular network, commonly utilize a relay station to forward a message from a mobile cellular unit to a desired destination. The relay station is typically a fixed base station where each mobile unit transmits an outgoing message directly to the base station (e.g., the base station is generally within one hop from the mobile units) for forwarding through a public telephone network to the desired destination. Ad hoc wireless networks (e.g., dynamic wireless networks without any routing infrastructure) are typically employed for military and personal communication applications. These types of networks do not include fixed base stations, but rather employ nodes that each dynamically determine a relay type network node to route traffic. Thus, the ad hoc network node is provided with a difficult task of determining a routing path for data transmission. Since several hops are typically required to facilitate communications, the cellular scheme described above is

insufficient for ad hoc networks.

The related art has attempted to overcome the aforementioned problem by providing flat and hierarchical network architectures for data routing. In particular, the flat architecture basically includes a single tier of network nodes in communication with each other. The flat architecture performs adequately with small scale networks, however, overhead traffic increases rapidly and exceeds network capacity in response to increasing network size. The hierarchical architecture basically arranges a network into plural tiers or hierarchical levels. The first tier typically includes clusters or cells each including a plurality of communication nodes or cluster members. One node within each cluster is designated as the cluster head and has full connectivity to corresponding member nodes. The second tier includes a backbone network formed of the cluster head nodes to enable communications between different clusters (e.g., for data transmitted over greater distances). Thus, the first network tier represents each network node, while the second network tier represents cluster head nodes. In operation, a network member node initially transmits a message to its corresponding cluster head node which subsequently forwards the message through the backbone network (e.g., through plural hops of cluster head nodes) to a destination cluster head node associated with a destination member node. Since full connectivity exists between each cluster head node and its corresponding member nodes, the destination cluster head node transmits the message to the corresponding destination member node. This type of architecture is typically employed in communication networks for military applications.

The formation of clusters and designation of cluster head nodes is generally performed dynamically within the exemplary hierarchical network, while the network employs a routing protocol to facilitate communications within the network. The routing protocol is preferably a link-state type of protocol that is implemented on the backbone network (e.g., by the cluster head nodes). The cluster head nodes each include a database that has information enabling the cluster head nodes to determine appropriate paths for routing messages. In particular, each head node constructs a routing table to determine a successive link to transmit a message from that node toward a destination head node. This is accomplished by transmitting or flooding routing information from each head node database among cluster head nodes to synchronize those databases. In order to ensure receipt of database information, a receiving head node transmits an acknowledgment message to a source head node transmitting the database information. If an

1 acknowledgment message is not received within a predetermined time interval, the database  
2 information is re-transmitted to the network head nodes that have not acknowledged receipt of  
3 the database information. In addition, each network node (e.g., cluster head and member nodes)  
4 periodically broadcasts a beacon type or node status packet in accordance with the routing  
5 protocol. This packet basically advertises the presence of a node within the network, and is  
6 typically utilized by cluster head nodes for "keep alive" and neighbor discovery purposes.

7 In order to facilitate internet routing or routing between the hierarchical and other external  
8 networks (e.g., the Internet), a modified version of the conventional Open Shortest Path First  
9 (OSPF) Protocol may be employed. The OSPF protocol is basically a routing protocol employed  
10 for Internet Protocol (IP) type networks, while the modified protocol or Radio Open Shortest  
11 Path First (ROSPF) protocol is similar to OSPF, but is adapted for use with radio or wireless  
12 networks. For examples of implementation of the OSPF Protocol, reference is made to RFC  
13 1583, Moy, "OSPF Version 2," March 1994, the disclosure of which is incorporated herein by  
14 reference in its entirety.

15 Routing is accomplished in the OSPF protocol by each network node having a routing  
16 database containing information related to network topology (e.g., links between network nodes).  
17 The routing database is utilized by each node to determine a path for transmitting a message to  
18 a destination site. The routing databases are updated by exchanging Link-State Advertisement  
19 (LSA) packets between neighboring nodes. These packets generally include information related  
20 to current links of network nodes and are typically transferred periodically and/or in the event of  
21 a modification to the network topology. The OSPF protocol designates a particular router to  
22 flood LSA packets to neighbors in broadcast type networks, while LSA packets are transmitted  
23 via point-to-point within non-broadcast type networks. The ROSPF protocol employed by the  
24 hierarchical network described above is similar to the OSPF protocol and exchanges LSA type  
25 packets between neighbors (e.g., cluster head and member nodes) to synchronize routing  
26 databases as described above.

27 The hierarchical architecture may provide significant reduction in routing overhead  
28 traffic in relation to the flat architecture depending upon the quantity of cluster head nodes  
29 employed. Accordingly, the related art provides several clustering techniques to arrange a  
30 network into a hierarchical architecture. Initially, a cluster head node may be utilized to replace  
31 the functionality of a cellular network base station and basically serves as a pseudo base station

1 for data traffic within a corresponding cluster. A technique of the related art for cluster head  
2 designation and subsequent cluster formation includes determining clusters based on identifiers  
3 (e.g., identification codes or numbers) of network nodes. This technique basically designates a  
4 network node having a lowest (e.g., or greatest) node identifier as a cluster head. The related art  
5 has expanded this technique to utilize a node identifier or a degree of node connectivity to  
6 designate a cluster head node, and has further modified the technique to employ interconnected  
7 non-overlapping clusters to cover an entire network.

8 In addition, clustering techniques have been employed for military communication  
9 applications and provide a basis for routing protocols. One such technique determines cluster  
10 head nodes in accordance with initial random start times of network nodes. Basically, each  
11 network node may initiate power or start up at various times, thereby providing a generally  
12 random node initiation sequence. A network node is designated as a cluster head node in  
13 response to node initiation and determining the absence of neighboring nodes. Thus, nodes  
14 having early initiation times tend to be designated as cluster head nodes by this technique. The  
15 routing protocol commonly designates cluster head nodes and forms clusters based on network  
16 node identifiers (e.g., lowest node identifier is designated as a head node) and certain designation  
17 rules.

18 The clustering techniques of the related art suffer from several disadvantages. In  
19 particular, the above clustering techniques generally utilize simple criteria to dynamically  
20 designate a cluster head without employing network topology information. In particular, the  
21 techniques typically designate a cluster head node based on lowest or greatest node identifier.  
22 However, this may result in no direct links between cluster head nodes, thereby requiring  
23 additional gateway type nodes (e.g., nodes having communications with two cluster head nodes)  
24 to facilitate communication between clusters and increasing the quantity of hops required for  
25 communication. The approach according to node random start times may designate a significant  
26 quantity of nodes as cluster head nodes, where the designations are typically not optimal  
27 selections for a network configuration. Further, this cluster formation technique depends upon  
28 the particular sequence of node initiation, thereby enabling particular initiation sequences to  
29 facilitate a formation failure. Moreover, the above clustering techniques complicate  
30 determination of an appropriate interval between node status packet transmissions. When the  
31 interval is set to a value below an acceptable range, large scale networks may become congested.

1 Conversely, if the interval is set to a value above an acceptable range, an extensive time interval  
2 is required to complete cluster formation. In addition, the above clustering techniques typically  
3 require the initial start times of network nodes to be spaced apart a sufficient interval in order to  
4 avoid network failure as the quantity of nodes within the network increases.

5 With respect to the network architectures for data routing, the flat architecture performs  
6 adequately for small scale networks, but as network size increases, the flat network rapidly  
7 becomes congested since overhead traffic increases exponentially with network size. The  
8 hierarchical architecture reduces overhead traffic relative to the flat network architecture,  
9 however, this reduction is insufficient when the network employs on the order of several hundred  
10 nodes, thereby limiting application of the routing protocol. Although reliability of flooding node  
11 database information throughout a network is enhanced by transmission of acknowledgment  
12 messages, these messages increase overhead traffic, thereby degrading network performance.

13 The present invention overcomes the aforementioned problems by utilizing network  
14 topology information to identify network nodes crucial for relaying traffic. The identified nodes  
15 are designated as cluster head nodes, while remaining nodes are designated as member nodes.  
16 Since cluster head nodes basically serve as relay nodes, the present invention removes the need  
17 for gateway type nodes. In other words, the present invention designates a minimum quantity  
18 of network nodes as cluster head nodes to achieve connectivity among the nodes. Since the  
19 present invention employs a deterministic approach, cluster formation remains substantially the  
20 same independently of the initial start-up sequence of network nodes. Further, the designation  
21 of cluster head nodes by the present invention is optimal since the designated nodes are crucial  
22 for relaying network traffic. Moreover, since the quantity of cluster head nodes that may  
23 facilitate communications depends upon the interval between node status packet transmissions,  
24 the present invention adaptively adjusts that interval to subsequently facilitate cluster formation  
25 independent of network size and varying start times of network nodes.

26 In addition, the present invention employs a cluster formation technique to form a three  
27 tier hierarchical network in order to apply the routing protocol to large scale networks. The  
28 cluster formation technique is applied to the cluster head nodes or backbone network to form  
29 third tier clusters. Nodes within the third tier distribute routing information from head node  
30 databases to reduce overhead traffic, while head nodes within the second tier are utilized for data  
31 routing. Further, the present invention reduces overhead traffic by eliminating transmission of

1 acknowledgment messages in response to receipt of the database information. Basically, the  
2 present invention examines head node databases and requests third tier nodes to supply missing  
3 information. Thus, the present invention only sends request messages in response to receipt of  
4 the database information and discovering missing data within head node databases, thereby  
5 significantly reducing overhead traffic.

#### 6 OBJECTS AND SUMMARY OF THE INVENTION

7 Accordingly, it is an object of the present invention to facilitate cluster formation in  
8 accordance with network topology information to minimize the quantity of hops for data  
9 transmission within the network.

10 It is another object of the present invention to form clusters within a network while  
11 designating a minimum quantity of cluster head nodes, thereby reducing the quantity of hops and  
12 overhead traffic for data transmission.

13 Yet another object of the present invention is to enable cluster formation independent of  
14 initial start times of network nodes.

15 Still another object of the present invention is to form an additional network hierarchical  
16 tier to transmit routing information from node databases throughout the network with reduced  
17 overhead traffic.

18 A further object of the present invention is to employ a three tier network architecture to  
19 facilitate transmission of routing information from node databases throughout the network with  
20 reduced overhead traffic.

21 The aforesaid objects may be achieved individually and/or in combination, and it is not  
22 intended that the present invention be construed as requiring two or more of the objects to be  
23 combined unless expressly required by the claims attached hereto.

24 According to the present invention, an exemplary wireless network includes a plurality  
25 of nodes arranged by the present invention into clusters with each cluster having cluster member  
26 nodes and a designated cluster head node. The nodes communicate with each other via a link-  
27 state type of routing protocol and may further communicate with other external networks in  
28 accordance with an internetworking protocol (e.g., a modified version of the conventional Open  
29 Shortest Path First (OSPF) routing protocol, or a Radio Open Shortest Path First (ROSPF)  
30 protocol). A database within each network node contains link information for that node. The  
31 present invention facilitates cluster formation within the network by utilizing network topology



1 information to form clusters and designate cluster head nodes. This is accomplished by  
2 identifying nodes that are crucial for relaying traffic within the network and designating those  
3 nodes as cluster head nodes, while remaining network nodes are designated as member nodes.  
4 Further, the present invention adjusts a node status packet transmission rate or interval between  
5 successive node status packet transmissions to facilitate cluster formation independent of  
6 network size and varying initial start times of network nodes.

7 In addition, the present invention utilizes the above described cluster formation technique  
8 to form a three tier architecture for transmission or flooding of routing information from head  
9 node databases throughout the network. In particular, the cluster formation technique is applied  
10 to cluster head nodes to form an additional network tier of super nodes. These super nodes are  
11 responsible for distributing the routing information, while cluster head nodes route network data  
12 traffic. The databases of cluster head nodes are examined subsequent to flooding of head node  
13 database information by super nodes, where data missing from a head node database is requested  
14 from a corresponding super node, thereby eliminating transmissions of acknowledgment  
15 messages. Thus, the present invention achieves significant reduction in overhead traffic.

16 The above and still further objects, features and advantages of the present invention will  
17 become apparent upon consideration of the following detailed description of specific  
18 embodiments thereof, particularly when taken in conjunction with the accompanying drawings  
19 wherein like reference numerals in the various figures are utilized to designate like components.

#### 20 BRIEF DESCRIPTION OF THE DRAWINGS

21 Fig. 1A is a diagrammatic illustration of network nodes according to the present invention  
22 arranged in an exemplary communication network.

23 Fig. 1B is a block diagram of a network node of Fig. 1.

24 Fig. 2 is a procedural flow chart illustrating the manner in which a network node adjusts  
25 the interval between node status packet transmissions according to the present invention.

26 Fig. 3 is a procedural flow chart illustrating the manner in which a network node receives  
27 and processes node status packets according to the present invention.

28 Fig. 4 is a procedural flow chart illustrating the manner in which a network node  
29 determines head or member status to facilitate cluster formation according to the present  
30 invention.

31 Fig. 5 is a diagrammatic illustration of an exemplary configuration of network nodes and

1 corresponding clusters formed in accordance with the present invention.

2 Fig. 6 is a diagrammatic illustration of an exemplary alternative configuration of network  
3 nodes and corresponding clusters formed in accordance with the present invention.

4 Fig. 7 is a graphical illustration of the relationship between network packet rate and time  
5 for an exemplary network configuration employing cluster formation and adjustment of the  
6 interval between node status packet transmissions in accordance with the present invention.

7 Fig. 8 is a diagrammatic illustration of an exemplary network having multiple tiers  
8 according to the present invention.

9 Fig. 9 is a procedural flow chart illustrating the manner in which a network node performs  
10 clustering and determines super node status to form a multiple tier network configuration  
11 according to the present invention.

12 Fig. 10 is a diagrammatic illustration of an exemplary configuration of cluster head nodes  
13 and corresponding clusters formed in accordance with the present invention.

14 Fig. 11 is a graphical illustration of the relationship between the total quantity of overhead  
15 packets and the quantity of cluster head nodes for the present invention and conventional  
16 flooding techniques.

#### 17 DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

18 Network nodes according to the present invention arranged in an exemplary wireless  
19 network are illustrated in Fig. 1A. Specifically, wireless network 2 includes a plurality of nodes  
20 10 arranged in cells or clusters 12 in accordance with cluster formation of the present invention  
21 as described below. Each cell or cluster includes corresponding cluster member nodes 10 with  
22 one of those cluster member nodes designated as a cluster head node 14. These cluster  
23 arrangements form a first tier of network 2 and facilitate communication within a cluster between  
24 the cluster head and member nodes preferably utilizing a first transmission frequency. The head  
25 nodes of each cluster are in communication with each other, preferably utilizing a second  
26 transmission frequency, and form a backbone network 16. The backbone network essentially  
27 forms a second tier of network 2 and facilitates communications between nodes of different  
28 clusters (e.g., generally providing communications over greater distances). The architecture of  
29 network 2 is similar to that of conventional cellular telephone systems, except that network 2  
30 provides dynamic selection of cells and cluster head nodes as described below.

31 A network node 10 according to the present invention is illustrated in Fig. 1B.  
32 Specifically, node 10 includes a transmitter 22, a receiver 24 and a processor 26. The processor

1 is preferably implemented by a conventional microprocessor or controller and controls the node  
2 to transmit and receive messages in accordance with the communication protocols described  
3 below. The transmitter is preferably implemented by a conventional transmitter and transmits  
4 messages from the processor, preferably in the form of radio frequency (RF) signals, in  
5 accordance with processor instructions. Receiver 24 is typically implemented by a conventional  
6 receiver and configured to receive signals, preferably in the form of radio frequency (RF) signals,  
7 transmitted by the transmitter of another node. The receiver receives transmitted signals and  
8 forwards the received signals to processor 26 for processing. The node further includes an  
9 identifier (e.g., a code or identification number) to identify the particular node and a database (not  
10 shown) to store information pertaining to neighboring nodes to facilitate cluster formation as  
11 described below. A present invention head node 14 is substantially similar to node 10 described  
12 above.

13 The network preferably employs a link-state type of routing protocol that is implemented  
14 on backbone network 16. The database of each head node 14 maintains information enabling that  
15 cluster head to determine appropriate paths for routing messages through the network. The  
16 information typically relates to links between the various network head nodes. The cluster head  
17 databases are synchronized in accordance with the routing protocol by transference of database  
18 update packets or messages between cluster head nodes that provide network connectivity  
19 information. These packets are conventionally transmitted to each neighboring network head  
20 node via plural unicast or point-to-point messages (e.g., messages from a source node to a  
21 specific destination network node) in response to changes in network topology, an external  
22 network connected to network 2 or other modifications to the network facilitating changes in a  
23 node database. When a database update packet is received, a point-to-point acknowledgment  
24 (ACK) packet is commonly transmitted to the source node from the destination node to indicate  
25 packet reception. In addition, each node (e.g., cluster head and member nodes) periodically  
26 broadcasts a beacon type or node status packet. This packet basically advertises the presence of  
27 a node within the network and is typically utilized by head nodes for “keep alive” and neighbor  
28 discovery purposes.

29 With respect to communications between network 2 and other external networks (e.g.,  
30 the Internet), the network may employ a Radio Open Shortest Path First (ROSPF) protocol. This  
31 protocol is basically a modified version of the conventional Open Shortest Path First (OSPF)

protocol commonly utilized for Internet Protocol (IP) type networks. Since the OSPF protocol generates significant overhead when applied to ad hoc networks (e.g., dynamic wireless networks without any routing infrastructure), such as network 2, that protocol has been modified to derive the ROSPF protocol suitable for use with wireless or radio networks. According to the ROSPF protocol, each node within network 2 maintains a routing database including information enabling the node to determine an appropriate path for routing a message to the external network. The information contained within the node routing databases typically relates to links between the various network nodes. The ROSPF protocol is a link-state type routing protocol and provides for synchronization of node routing databases through transmission of Link-State Advertisement (LSA) packets to each network node. These packets are conventionally transmitted to each neighboring network node via plural point-to-point messages (e.g., messages from a source node to a specific destination network node) in response to changes in network topology, an external network connected to network 2 or other modifications to the network facilitating changes in a node database. When a database update packet is received, a point-to-point OSPF type acknowledgment (ACK) packet is commonly transmitted to the source node from the destination node to indicate packet reception.

The arrangement of nodes 10 within clusters 12 and the designation of cluster head nodes 14 are dynamically determined by the present invention. Basically, the present invention facilitates cluster formation and adjustment of the interval between node status packet transmissions within wireless ad hoc type networks. Cluster formation facilitates arrangement of network 2 into clusters and designation of cluster head nodes to form backbone network 16. The present invention distributes processing in a manner that enables each network node to determine its status as a head or member node in accordance with local connectivity information received within node status packet transmissions from neighboring nodes as described below. Since the interval between node status packet transmissions is adjusted, the initial value for that interval is not critical to cluster formation. Generally, the initial interval between node status packet transmissions is set to a low value to form clusters rapidly. If the initial interval is set to a value below an acceptable range, the network becomes congested due to transmission of excessive quantities of node status packets. However, the present invention automatically increases that interval to relieve the congestion.

The manner in which a processor of a network node facilitates transmission of node status packets and adjustment of the interval between transmission of those packets according to the

present invention is illustrated in Fig. 2. Initially, power is enabled to an unconfigured network at step 30 and each network node periodically transmits node status packets at predetermined time intervals. The node status packets transmitted by each node include a payload or storage section containing information including the quantity of neighboring nodes associated with that node and a listing of those neighboring nodes. The quantity of this information typically increases as node status packets are received by a node and additional neighboring nodes are discovered. The node status packets are transmitted as a broadcast message to enable each node of a succeeding hop (e.g., nodes within one hop from the transmitting node) to receive the packets. Specifically, a node schedules beacon transmission using an initial value at step 32, and subsequently waits for the transmission time of a succeeding node status packet as determined at step 34. In other words, the network node transmits a node status packet 'k' (e.g., where k is generally an integer greater than or equal to zero) at time,  $t_k$ , and waits for expiration of a time interval,  $T_k$ , between time  $t_k$  and the transmission time of a succeeding node status packet,  $t_{k+1}$ . The time interval between node status packet transmissions,  $T_k$ , is initially set to a generally low predetermined value and is adjusted in accordance with network conditions as described below. However, the time interval may be initially set to any desired value. The network node receives node status packets during transmission and processes the packets as described below to facilitate the interval adjustment.

In response to expiration of the time interval, a node status packet containing relevant neighbor information is transmitted by the network node at step 36. The node processor subsequently determines the appropriate interval between subsequent node status packet transmissions based on the quantity of neighboring nodes indicated within received node status packets. Basically, the quantity of neighboring nodes generally decreases or remains the same in the event that no additional neighbors are discovered, or that neighboring node status packet transmissions are lost due to transmission impairments. In order to enhance the probability of receiving the potentially lost node status packets, the interval between node status packet transmissions,  $T_k$ , is increased to provide sufficient time for reception of the packets. Specifically, when the quantity of neighboring nodes,  $N_k$  (e.g., where N is an integer generally greater than or equal to zero), associated with the network node at a time,  $t_k$ , is the same as the neighbor quantity,  $N_{k-1}$ , at a previous time,  $t_{k-1}$ , as determined at step 38, the time interval between transmission of node status packets by the network node,  $T_k$ , is increased at step 42.

Accordingly, the time for transmission of a succeeding node status packet,  $t_{k+1}$ , may be expressed as follows:

$$t_{k+1} = t_k + T_k + \text{uniform}(\delta);$$

where the uniform function represents a uniform distribution. In other words, the transmission time of a succeeding packet,  $t_{k+1}$ , is determined from the transmission time of a current node status packet ( $t_k$ ), a current interval between transmissions ( $T_k$ ) and an offset ( $\delta$ ). The offset,  $\delta$ , is utilized to coordinate node status packet transmissions of network nodes. Since simultaneous transmission of node status packets results in collisions, the node status packet transmission times are staggered among the network nodes to minimize collision occurrence. The offset,  $\delta$ , may be any desired value or function to achieve appropriate node status packet transmission times. The uniform function basically distributes the offset values among the nodes in an appropriate manner. The interval between node status packet transmissions of neighboring nodes is typically determined by the network node based on the frequency of reception of node status packets from those nodes. Thus, the network node may determine appropriate intervals for node status packet transmissions based on the current interval and intervals of neighboring nodes. Moreover, the time interval between transmission of succeeding node status packets,  $T_{k+1}$ , may be determined from the current interval ( $T_k$ ) and the offset ( $\delta$ ), and may be expressed as follows.

$$T_{k+1} = T_k + \delta.$$

If the quantity of neighbors,  $N_k$ , associated with the network node at a time,  $t_k$ , is not the same as the neighbor quantity,  $N_{k-1}$ , at a prior time,  $t_{k-1}$ , as determined at step 38, the time interval for succeeding node status packet transmissions,  $T_{k+1}$ , is not modified, and the transmission time,  $t_{k+1}$ , and interval,  $T_{k+1}$ , are respectively set at step 40 as follows:

$$t_{k+1} = t_k + T_k$$

$$T_{k+1} = T_k.$$

Thus, the transmission time of a succeeding packet,  $t_{k+1}$ , is determined based on the current transmission time ( $t_k$ ) and time interval ( $T_k$ ). Since additional nodes are in communication with the network node, this indicates that the interval is set to a reasonable value and, therefore, should remain unchanged. The above process is repeated until termination of node processing (e.g., power down or other event) as determined at step 44.

The manner in which a processor of a network node facilitates reception and processing of node status packets transmitted by neighboring nodes is illustrated in Fig. 3. Initially, each

node includes a database that stores information associated with neighboring nodes from which node status packets are received. The database basically maintains a plurality of neighbor sets, S, each including the corresponding node and neighbors from which that node receives node status packets. Thus, the database of a node having 'P' neighbors (e.g., where P is generally an integer greater than or equal to zero) includes P+1 neighbor sets (e.g., a set for the node and individual sets for each of P neighbors). Specifically, the network node receives a node status packet from a neighboring node at step 50. If the neighboring node is not included within the network node neighbor set as determined at step 52, the neighboring node is added to that set at step 54. When the network node database does not include a neighbor set corresponding to the neighboring node as determined at step 56, that neighbor set is created at step 58. Since node status packets typically include neighbor information as described above, the neighbor information within the received node status packet is examined by the network node processor at step 60 to determine whether or not neighbors identified within the received packet are included within the neighbor set associated with the neighboring node. If each identified neighbor is not present within the associated neighbor set, that neighbor set is updated to include the missing neighbors at step 64.

In response to determining at step 66 that the network node is identified within the neighbor set associated with the neighboring node or within the neighbor information of the node status packet, the network node establishes two-way communication with the neighboring node at step 68. The above process is repeated until termination of node processing (e.g., power down or other event) as determined at step 70.

The manner in which a processor of a network node determines head or member status of that node to facilitate cluster formation is illustrated in Fig. 4. Initially, cluster formation is distributed among network nodes where each node determines its status as a head or member node. Node status is basically determined by each node subsequent transmission of a predetermined quantity of node status packets by that node and in response to no new neighbors being discovered and no changes within neighbor sets occurring during the node status packet transmissions. Specifically, a node status packet counter is initialized by the network node processor at step 80. The network node transmits node status packets including corresponding neighbor information at appropriate times and adjusts the interval between those transmissions as described above. In response to transmission of a node status packet as determined at step 82,

1 the counter is incremented at step 84. If the counter is below a predetermined threshold as  
2 determined at step 86, thereby indicating that the predetermined quantity of node status packets  
3 has not been transmitted, the network node continues to monitor transmission of node status  
4 packets and increment the counter as described above.

5 When the packet counter accumulates a value greater than or equal to the predetermined  
6 threshold, thereby indicating transmission of a sufficient quantity of node status packets, the node  
7 processor determines at step 88 whether or not new neighbors have been discovered or a  
8 neighbor set has changed. If either of these conditions has occurred during transmission of the  
9 node status packets, the counter is re-initialized at step 80 and the processor basically waits for  
10 the occurrence of appropriate conditions (e.g., no new neighbors and no changes within neighbor  
11 sets) within succeeding sessions of node status packet transmissions (e.g., intervals where the  
12 predetermined quantity of node status packets are transmitted) as described above. The  
13 predetermined quantity of node status packet transmissions may be set to any desired value.

14 Once a session of node status packet transmissions occurs without discovering a new  
15 neighbor and without changes in neighbor sets, the node processor determines at step 90 whether  
16 or not a neighbor set associated with the network node is a subset of a neighbor set of any  
17 neighboring nodes. The neighbor sets for this determination are stored within the network node  
18 database as described above. In other words, the processor determines for the neighbor set,  $S$ ,  
19 associated with the network node the presence of a neighbor set,  $S_m$ , associated with another node  
20 'm' that satisfies the condition of  $S \subset S_m$ , where m is generally an integer from one to the quantity  
21 of neighboring nodes. If the neighbor set associated with the network node is not a subset of any  
22 neighbor sets of neighboring nodes, this indicates that there exist some nodes within the  
23 associated neighbor set that may only establish communications through the network node. Thus,  
24 the network node is crucial to relay traffic and is designated as a head node at step 92.

25 If the neighbor set associated with the network node is a subset of a neighbor set of a  
26 neighboring node, the node processor determines at step 94 if there exists a common neighbor  
27 set associated with the network node and each of the neighboring nodes (e.g., each neighbor set  
28 associated with the network node or neighboring nodes is equivalent to each other). In other  
29 words, the processor determines the presence of a neighbor set,  $C$ , equivalent to each neighbor  
30 set,  $S_i$ , in the network node database, where 'i' is generally an integer from one to a quantity of  
31 nodes including the network node and its neighboring nodes. This basically occurs in the event



1 of a flat network architecture of fully connected nodes where each node has the same neighbors,  
2 thereby producing equivalent neighbor sets. When there is no common neighbor set, this  
3 indicates that the neighbor set associated with the network node is a subset of another neighbor  
4 set as described above. Thus, the neighbors of the network node may facilitate communications  
5 through the node associated with that other neighbor set. Accordingly, the network node is not  
6 crucial to relay traffic and is designated as a member node at step 96.

7 When a common neighbor set exists as determined at step 94, the node with the lowest  
8 identifier is designated as a head node and a master node at step 98. The master node determines  
9 the head or member node status of the remaining nodes. The head nodes are selected to have a  
10 predetermined quantity of member nodes associated with each head node. For example, if 'Q'  
11 (e.g., where Q is an integer generally greater than zero) member nodes are to be associated with  
12 each head node, the master node designates a head node for each group of Q+1 nodes. The  
13 master node informs nodes of their head node status, while remaining nodes are designated as  
14 members.

15 Once status has been determined for network nodes as described above, the head nodes  
16 inform corresponding member nodes of the head node designations. This is typically  
17 accomplished by the head nodes transmitting status information within the node status packets.  
18 When a member node receives node status packets indicating that more than one neighboring  
19 node is designated as a head node, the member node may determine the particular head node to  
20 utilize for communications based on any desired criteria (e.g., strongest signal, etc.). The above  
21 process is repeated until termination of node processing (e.g., power down or other event) as  
22 determined at step 100. The network continually adjusts the interval between node status packet  
23 transmissions and performs cluster formation in response to appropriate conditions as described  
24 above.

25 Cluster formation in accordance with the present invention is described with reference  
26 to an exemplary network illustrated in Fig. 5. Specifically, a network 20a includes nodes 10(1) -  
27 10(10) each substantially similar to the nodes described above and arranged with nodes 10(1) -  
28 10(4), 10(4) - 10(7) and 10(7) - 10(10) respectively in communication with each other and  
29 disposed within areas 102, 104, 106. However, node sets 10(1) - 10(3), 10(5) - 10(6) and 10(8) -  
30 10(10) lack connectivity between those areas. Since node 10(4) is disposed within areas 102 and  
31 104 and node 10(7) is disposed within areas 104 and 106, these nodes are crucial to relay traffic  
32 between areas and, therefore, are designated as head nodes. Further, nodes 10(4) and 10(7) are

the minimum quantity of nodes that should be selected as head nodes to facilitate communications among network nodes. The remaining nodes (e.g., 10(1) - 10(3), 10(5) - 10(6) and 10(8) - 10(10)) are designated as member nodes.

The neighbor sets associated with each node of exemplary network 20a are as follows:

$$\begin{array}{lll} S_1 = \{ 1, 2, 3, 4 \} & S_2 = \{ 1, 2, 3, 4 \} & S_3 = \{ 1, 2, 3, 4 \} \\ S_4 = \{ 1, 2, 3, 4, 5, 6, 7 \} & S_5 = \{ 4, 5, 6, 7 \} & S_6 = \{ 4, 5, 6, 7 \} \\ S_7 = \{ 4, 5, 6, 7, 8, 9, 10 \} & S_8 = \{ 7, 8, 9, 10 \} & S_9 = \{ 7, 8, 9, 10 \} \\ S_{10} = \{ 7, 8, 9, 10 \} & & \end{array}$$

where the subscript of a set 'S' and the corresponding set elements are in the form of reference numeral indices to refer to a corresponding node. For example, 'S<sub>1</sub>' represents the neighbor set associated with node 10(1), while a set element '2' refers to node 10(2). The database of each node includes the neighbor set of that node and the neighbor sets of neighboring nodes. By way of example, the database of node 10(1) includes neighbor sets S<sub>1</sub>, S<sub>2</sub>, S<sub>3</sub> and S<sub>4</sub>.

Each neighbor set basically includes the associated node and the neighboring nodes from which the particular node receives node status packets. For example, since node 10(1) is in communication with nodes 10(2), 10(3) and 10(4) as described above, the corresponding neighbor set, S<sub>1</sub>, includes nodes 10(1), 10(2), 10(3) and 10(4). The head or member status of node 10(1) is determined by that node based on neighbor sets of the nodes within set, S<sub>1</sub>, or sets S<sub>1</sub>, S<sub>2</sub>, S<sub>3</sub> and S<sub>4</sub>. Since neighbor set S<sub>1</sub> is a subset of neighbor set S<sub>4</sub>, node 10(1) is not crucial to relay traffic and is designated as a member node. In other words, the nodes within set S<sub>1</sub> may also receive packets from node 10(4), thereby indicating that node 10(1) is not crucial to relay traffic.

The status of node 10(4) is determined by that node based upon neighbor sets of the nodes within set S<sub>4</sub>, or sets S<sub>1</sub>, S<sub>2</sub>, S<sub>3</sub>, S<sub>5</sub>, S<sub>6</sub> and S<sub>7</sub>. Since set S<sub>4</sub> is not a subset of the neighbor sets of the remaining nodes with that set, this indicates that there exist some nodes within set S<sub>4</sub> that may only establish communications through node 10(4) and, therefore, node 10(4) is crucial to relay traffic and is designated as a head node. Similarly, node 10(7) determines, in the manner described above for node 10(4), that some nodes within associated neighbor set S<sub>7</sub> may only facilitate communications through node 10(7) and, therefore, node 10(7) is crucial to relay traffic and designates its status as a head node. The remaining nodes within network 20a determine their status in substantially the same manner described above. The present invention identifies nodes

1 10(4) and 10(7) as head nodes, thereby designating the minimum quantity of head nodes and  
2 providing a minimum quantity of hops for data transmission. The minimum hop quantity further  
3 serves to maximize message completion rate and minimize network latency. The network nodes  
4 perform the above determination based on the neighbor information received within node status  
5 packets and stored in the respective node databases as described above.

6 Performance of the present invention has been measured with reference to an exemplary  
7 network configuration illustrated in Fig. 6. Specifically, network 20b includes nodes 10(1) -  
8 10(20) each substantially similar to the nodes described above and arranged with nodes 10(1) -  
9 10(6), 10(6) - 10(11), 10(11) - 10(16) and 10(16) - 10(20) respectively in communication with  
10 each other and disposed within areas 108, 110, 112 and 114. Nodes 10(6), 10(11) and 10(16)  
11 should be designated as head nodes, while remaining nodes within network 20b should be  
12 designated as member nodes. The present invention designates nodes 10(6), 10(11) and 10(16)  
13 as head nodes without regard to the generally random sequence of node activation. In contrast,  
14 the techniques of the related art described above produce sub-optimal results. For example, the  
15 lowest node identifier scheme designates at least four cluster head nodes each associated with  
16 a respective area 108, 110, 112, 114. Further, that technique requires designation of gateway  
17 nodes to route traffic, whereas the present invention provides head node status to nodes that are  
18 crucial for relaying traffic, thereby eliminating the necessity of gateway nodes.

19 In addition, the above-described scheme dependent upon node activation generates  
20 different cluster formations with varying start-up sequences. In order to produce results for this  
21 scheme, a simulator employing a random number generator is utilized to simulate network  
22 behavior. The random number generator produces a random number that is associated with a  
23 particular node. Thus, corresponding nodes are initiated in accordance with the output of the  
24 random number generator to simulate the generally random nature of network node initiation.  
25 The random number generator utilizes a base number or seed to produce a sequence of random  
26 numbers where variations in the seed alter the sequence of random numbers. Results of cluster  
27 formation by the above described node initiation scheme for varying seeds are illustrated in Table  
28 I below.

Table I

<u>SEED</u>	<u>HEADS</u>
123127	5, 7, 8, 10, 11, 12, 16, 17
3127	3, 4, 5, 6, 7, 11, 12, 16, 19
9857	4, 7, 8, 10, 11, 13, 16, 20

The head nodes indicated in the table are in the form of reference numeral indices to refer to corresponding nodes. Thus, by way of example, a head node '4' in the table refers to node 10(4). As shown above in Table I, the scheme designates a significantly greater quantity of cluster heads than the present invention, where the cluster heads are not optimal or crucial for routing traffic. Further, this scheme generates different cluster formations with varying seeds or node initiation sequences, thereby being dependent upon those sequences for cluster formation.

The performance of adjustment of the interval between node status packet transmissions has been measured on an exemplary network of one-hundred nodes randomly distributed in an area of twenty kilometers by twenty kilometers and having a radio range of approximately ten kilometers. Initially, each network node starts within a period of approximately four seconds. Subsequently, the interval between node status packet transmissions is adjusted in the manner described above. The relationship between packet rate of the network and time is illustrated in Fig. 7. The total packet rate is defined to be the total quantity of node status packets transmitted divided by the elapsed time. As shown in Fig. 7, the packet rate is initially high and decreases with an increased interval to avoid collisions. Once the interval settles, cluster formation is initiated. The present invention designates twenty-two head nodes and seventy-eight member nodes for the network. The node initiation scheme described above cannot form clusters for this network since the network nodes start at approximately the same time. The present invention has been further applied to various network configurations having approximately one-hundred to three hundred fifty nodes. In each case, cluster formation was achieved even during conditions of each node starting at approximately the same time (e.g., starting within four seconds).

Typically, the cluster arrangement of a network affects overhead traffic, where the amount of overhead traffic generally depends on the degree of optimal cluster formation. For example, a cluster formation technique that designates an excessive quantity of cluster head nodes severely affects overhead traffic and routing performance. In order to reduce overhead traffic within a

network, the clustering technique described above is further applied to a backbone network of head nodes to form an additional tier of super nodes as illustrated in Fig. 8. Specifically, an exemplary network 200 includes nodes 10(1) - 10(11) each substantially similar to node 10 described above. Cluster formation is initially performed by the network nodes to determine head node status in substantially the same manner described above. This same clustering procedure is subsequently performed by head nodes to determine super node status. Once the head node clustering is performed, the network includes an additional tier of super nodes. By way of example, nodes 10(1) - 10(11) of network 200 are initially within a first tier 150. Cluster formation is performed by the first tier nodes where nodes 10(3), 10(6) and 10(9) are designated as head nodes 14(3), 14(6) and 14(9). These head nodes form a second tier 160 where each node within that tier is a head node. The head nodes of tier 160 perform cluster formation as described above and node 14(6) is designated as a super node 15(6). The super node forms a third tier 170. When formation of the super node tier commences, a database within each second tier head node includes information relating to connectivity of its neighboring head nodes. In other words, a database of a head node that has 'L' neighboring head nodes (e.g., where L is an integer generally greater than zero) includes the neighbor sets,  $H_i$ , where 'i' is generally an integer from one through L+1 (e.g., neighbor sets for the particular head node and each of its L neighboring head nodes). The neighbor sets include the associated head node and neighboring head nodes from which the particular head node receives node status packets. The head nodes initially receive this connectivity information from their neighboring nodes within node status packets as described above. The super node includes information relating to connectivity of its corresponding neighboring head and super nodes at termination of third tier formation.

The manner in which a processor of a network node determines its status to facilitate multiple tier cluster formation is illustrated in Fig. 9. Specifically, power is enabled to the network at step 120 and the network node transmits and receives node status packets and adjusts the interval between those transmissions at step 122 in substantially the same manner described above for Figs. 2-3. Once the appropriate conditions have occurred (e.g., no new neighbors and no neighbor set changes have occurred within an interval of a predetermined quantity of node status packet transmissions), the network node determines its status as a head or member node at step 124 in substantially the manner described above for Fig. 4.

Subsequent node status determination, the node processor determines at step 126 whether

1 or not the network node is designated as a head node. If the network node is designated as a head  
2 node, the node processor determines at step 127 whether or not each node within neighbor sets  
3 of neighboring nodes has determined its status as a head or member node. Basically, the database  
4 of a node having 'W' neighboring nodes (e.g., where W is an integer generally greater than zero)  
5 includes the neighbor sets,  $S_j$ , where j is an integer from one to W+1 (e.g., neighbor sets for the  
6 particular node and each of its W neighboring nodes). Cluster formation with respect to network  
7 head nodes may commence by a head node when the head or member status of each node within  
8 sets,  $S_j$ , is determined. Initially, an additional head link database is constructed by each head  
9 node and includes information relating to cluster head node connectivity. For example, the head  
10 link database of a head node having 'L' neighboring head nodes (e.g., where L is an integer  
11 generally greater than zero) from which the cluster head node may receive transmissions,  
12 includes neighbor sets,  $H_i$ , where 'i' is generally an integer from one through L+1 (e.g., neighbor  
13 sets for the particular head node and each of its L neighboring head nodes). The neighbor sets  
14 include the associated head node and neighboring head nodes from which the particular head  
15 node receives node status packets as described above. The super node status of the network node  
16 is determined at step 128 in response to the nodes within the neighbor sets determining their  
17 status. Super node status of the network node is determined in substantially the same manner as  
18 the determination of head node status described above for Fig. 4. The super nodes basically  
19 inform corresponding head nodes of the super node designations by transmitting status  
20 information within node status packets in substantially the same manner described above for head  
21 node notification. Further, when a head node receives information indicating that more than one  
22 neighboring node is a super node, the head node may determine the particular super node to  
23 utilize for communications based on any desired criteria (e.g., signal strength, etc.) in  
24 substantially the same manner described above for member nodes selecting a head node.

25 A flooding process occurs after formation of the super node tier and is initiated by the  
26 super nodes. Basically, flooding is the process where each head node receives routing  
27 information from other network head nodes to synchronize head link databases. Thus, the head  
28 link database of each head node includes information relating to the connectivity of head nodes  
29 within the network in response to completion of the flooding process. In particular, the network  
30 node floods a database update packet to other network super nodes at step 132 in response to  
31 determining that the network node is a super node at step 130. The flooding may be  
32 accomplished by a unicast or broadcast technique. Specifically, a unicast technique includes each

1 super node transmitting routing or connectivity information from its head link database or any  
2 newly received connectivity information to each corresponding neighboring super node via  
3 unicast or point-to-point messages. Since the head link database of each super node includes  
4 connectivity information of its corresponding neighboring head nodes, the head link database of  
5 each super node contains information relating to connectivity of each network head node at  
6 completion of the flooding process. The information transmitted by a super node is received by  
7 neighboring super nodes that each forward the information via unicast or point-to-point messages  
8 to head nodes associated with that super node. Since each head node contains connectivity  
9 information relating to each of its neighboring head nodes (e.g., including its corresponding super  
10 node), the super nodes need to transmit to their associated head nodes only the information  
11 received from neighboring super nodes. The unicast technique facilitates transmission to a  
12 destination with minimum power for nodes that may adapt transmission power. Further, since  
13 this technique requires a channel to be cleared prior to transmission, the possibility of collisions  
14 is reduced. However, this technique transmits a packet for each destination, thereby providing  
15 significant overhead traffic for large networks and increasing the likelihood of collisions.

16 As discussed above, the unicast technique basically transmits packets among super nodes  
17 and subsequently floods those packets from super nodes to associated head nodes. The broadcast  
18 technique basically includes super nodes flooding connectivity information from their head link  
19 database or any newly received connectivity information to each of their super node or head node  
20 neighbors. Thus, the super nodes may transmit to any neighbors regardless of super node status.  
21 Although the broadcast technique transmits without adaptive power adjustment or a guarantee  
22 of a clear channel, this technique provides significant reduction of overhead traffic. For example,  
23 one broadcast packet transmission is required to flood connectivity information for a super node  
24 having 'Y' associated head nodes (e.g., where Y is generally an integer greater than zero),  
25 whereas Y packet transmissions are required by the unicast technique.

26 Once connectivity information is transmitted by super nodes, the network node in  
27 response to being designated a super node, receives the information at step 133 and forwards the  
28 information to its associated head nodes. The associated head nodes update their head link  
29 databases with the transmitted information and determine whether or not further information is  
30 required as described below. If additional information is required, the head nodes transmit  
31 requests to the network node to provide the requested information. Accordingly, the network

1 node receives requests for information from associated head nodes at step 134. The requests are  
2 processed by the network node and the information is transmitted via a unicast or point-to-point  
3 message to the requesting head node at step 135. The requesting node receives the information  
4 and updates its head link database to contain a complete description of head node connectivity.

5 Once flooding has been accomplished, each head node should contain sufficient  
6 information to perform clustering and route packets. However, in order to ensure the integrity  
7 of head link databases, each head node examines its head link database for missing information.  
8 Accordingly, in response to the node processor determining at step 130 that the network node  
9 does not qualify as a super node, the network node receives and processes database update  
10 packets from a corresponding super node at step 136. The network node processes these packets  
11 in order to update its head link database. Once the flooding is complete, the network node  
12 examines its head link database for missing information at step 138. This is accomplished by  
13 examining neighbor sets within that database. In particular, each head link database should  
14 contain neighbor sets,  $D_i$ , where 'i' is an integer from 1 through 'Z', and Z is generally an integer  
15 greater than zero and represents the quantity of head nodes in the network. The neighbor sets  
16 include the associated head node and neighboring head nodes from which the particular head  
17 node receives node status packets as described above. The network node examines each neighbor  
18 set  $D_i$  within the head link database to uncover a set element or neighboring head node for which  
19 the head link database does not include a corresponding neighbor set, thereby indicating that the  
20 database is incomplete. For example, if node 14(9) (Fig. 8) is determined to be an element of the  
21 set,  $D_5$ , the network node examines the head link database for the neighbor set,  $D_9$ , associated  
22 with node 14(9). When set  $D_9$  is not within the database, the database is incomplete and the  
23 network node ascertains the missing information.

24 In response to determining at step 140 that the database lacks information, the network  
25 node requests its corresponding super node to provide the missing information at step 142. The  
26 request is processed by the super node and the information is provided to the network node as  
27 described above. The head link database of the network node is updated with the information to  
28 provide a complete description of head node connectivity. This technique eliminates the need for  
29 head nodes to acknowledge receipt of packets from the corresponding super node. Since  
30 numerous acknowledgment packets may be transmitted, especially in the case where a super node  
31 has several associated head nodes, the amount of overhead traffic is significantly reduced. In



1 certain systems, an acknowledgment is incorporated into the routing protocol for a unicast  
2 message. Accordingly, a head node does not need to repeat the acknowledgment to a super node.  
3 However, with respect to a broadcast technique, an acknowledgment is typically transmitted to  
4 ensure reliability.

5 Operation of the multiple tier architecture of the present invention is described with  
6 reference to an exemplary network configuration illustrated in Fig. 10. Initially, network 200  
7 includes head nodes 14(1) - 14(8) each substantially similar to nodes 14 described above and  
8 associated with corresponding member nodes (not shown). Network nodes 14(1) - 14(8) have  
9 been designated as head nodes in the manner described above and form a second tier of network  
10 200. The cluster formation technique described above is applied to the head nodes resulting in  
11 head nodes 14(3) and 14(8) being designated as super nodes. The super nodes flood routing  
12 information to synchronize head link databases as described above, where the head link database  
13 of each head node should contain the following information or neighbor sets.

$$\begin{array}{lll} D_1 = \{ 1, 2, 3 \} & D_2 = \{ 1, 2, 3 \} & D_3 = \{ 1, 2, 3, 4, 5, 8 \} \\ D_4 = \{ 3, 4, 5, 8 \} & D_5 = \{ 3, 4, 5, 8 \} & D_6 = \{ 6, 7, 8 \} \\ D_7 = \{ 6, 7, 8 \} & D_8 = \{ 3, 4, 5, 6, 7, 8 \} & \end{array}$$

14 The subscript of set D and set elements represent reference numeral indices and refer to particular  
15 head nodes. For example, 'D<sub>1</sub>' represents the neighbor set associated with head node 14(1),  
16 while an element '2' refers to head node 14(2).

17 Once flooding is accomplished by super nodes 14(3) and 14(8), the head link database  
18 of each head node 14(1) - 14(2) and 14(4) - 14(7) is examined for completeness. By way of  
19 example only, node 14(1) examines its database and discovers that node 14(5) is an element of  
20 neighbor sets D<sub>3</sub>, D<sub>4</sub> and D<sub>8</sub> respectively associated with head nodes 14(3), 14(4) and 14(8).  
21 However, the neighbor set associated with node 14(5) is not within the database of node 14(1).  
22 Accordingly, node 14(1) transmits a request to corresponding super node 14(3) to provide the  
23 missing information. If additional information relating to a particular node is missing, this  
24 indicates that the node has a system failure or has moved out of range. For example, when the  
25 database of node 14(1) further lacks sets D<sub>5</sub>, D<sub>3</sub>, D<sub>4</sub> and D<sub>8</sub> respectively associated with  
26 uncovered node 14(5) and its neighboring head nodes 14(3), 14(4) and 14(8), node 14(5)  
27 typically has a system failure or has moved out of range.

1           Conventional techniques, such as the OSPF protocol, designate a particular router to  
2 transmit a broadcast message to neighboring routers as described above. The neighboring routers  
3 each transmit an acknowledgment message to the designated router in response to receiving the  
4 broadcast message. When the designated router does not receive a response from a neighboring  
5 router within a predetermined time interval, the broadcast message is re-transmitted via the  
6 unicast technique to the router not acknowledging the message. However, the present invention  
7 eliminates the requirement of transmitting an acknowledgment message, while providing a  
8 manner for head nodes to receive missing information from super nodes, thereby reducing  
9 overhead traffic. Once initial flooding and database examination are complete, each head node  
10 contains information sufficient to route messages. Super nodes handle flooding of database  
11 update packets, while head nodes provide routing functions for the network. When changes in  
12 network connectivity or other events occur that modify a head link database, new information  
13 is flooded to the head nodes to synchronize their head link databases. This is accomplished by  
14 a head node transmitting the information to a corresponding super node which subsequently  
15 floods the information as described above. This technique may be further utilized to flood  
16 database or other information (e.g., internal network routing protocol, ROSPF packets, etc.) to  
17 head and/or member nodes throughout the network. The present invention continually adjusts  
18 network configuration and designates head nodes and super nodes in response to appropriate  
19 network conditions as described above. This enables the network to adapt to changing conditions  
20 (e.g., units moving between clusters or unit movement causing a current configuration to be sub-  
21 optimal) and provide a relatively optimal configuration for routing traffic.

22           The present invention may employ alternative techniques to reduce overhead traffic. In  
23 particular, broadcast messages may include information from plural database update packets and  
24 be transmitted at particular times to reduce overhead traffic. For example, when a super node  
25 receives new database information in the form of database update packets from neighboring  
26 super nodes, the information may be transmitted immediately within individual packets each  
27 corresponding to a received database update packet. However, this may increase packet rate,  
28 especially where the node is receiving database information from several other super nodes.  
29 Accordingly, the super nodes may transmit information accumulated from several received  
30 database update packets within a single cumulative packet for transmission to associated head  
31 nodes. Alternatively, each super node may include a timer that is initiated after adjustment of

1 the interval between node status packet transmissions for head node clustering. The timer  
2 indicates expiration of predetermined time intervals, and may be set to any desired value. A  
3 super node floods a message in response to receiving new routing information within each  
4 periodic interval as indicated by the timer. The message includes the routing information  
5 received during that interval. This provides a super node an opportunity to aggregate data prior  
6 to transmission in order to reduce overhead traffic.

7 The present invention may achieve significant reductions in overhead traffic. By way of  
8 example only, the overhead traffic produced by conventional techniques and the present  
9 invention for a fully connected network (e.g., a network including nodes having direct  
10 communication with each other) is examined. Basically, two approaches may be utilized to flood  
11 database information. One approach is a conventional brute force or basic technique utilizing  
12 a flat or single level network architecture, while another approach includes the technique  
13 employed by the present invention described above. A comparison between the approaches may  
14 be performed based on the quantity of packets transmitted (e.g., excluding re-transmissions  
15 within the flat architecture and request messages within the present invention). The packet  
16 quantity for the present invention is measured from cluster head nodes. In other words, the  
17 second tier or cluster head nodes are considered as a flat architecture for the conventional  
18 approach, and as a hierarchical architecture for the present invention subsequent clustering and  
19 formation of the third tier. Unicast and broadcast transmission techniques are utilized for the  
20 comparison.

21 Basically, an exemplary network configuration includes 'N' second tier or cluster head  
22 nodes that are fully connected, where N is an integer generally greater than zero. Transmission  
23 from a single head node initiates a series of transmissions from other head nodes to flood a  
24 packet. In other words, a head node initially transmits a database update packet to N-1  
25 destination head nodes, where each destination head node transmits the packet to the remaining  
26 N-2 destination head nodes. The total packet quantity,  $B_{update}$ , using the conventional approach  
27 may be expressed as follows:

$$\begin{aligned} B_{update} &= (N-1) + (N-1)(N-2) = (N-1)(N-2+1) \\ &= (N-1)^2. \end{aligned}$$

31 The above expression provides a packet quantity for an update message received by any network

node. With respect to a database refresh (e.g., each head node transmits information from its head link database to other head nodes), each head node basically transmits a packet in the manner of an update as described above. Thus, the total packet quantity,  $B_{\text{refresh}}$ , for a database refresh (e.g.,  $N \cdot B_{\text{update}}$ ) may be expressed as follows:

$$B_{\text{refresh}} = N(N-1)^2.$$

Referring to the present invention, upon completion of head node clustering, each head link database includes connectivity information pertaining to each network head node in response to the head nodes being fully connected. Thus, additional information is not required to be flooded, whereas flooding in a flat architecture is dependent upon the implementation and the above expression for  $B_{\text{update}}$  provides the quantity of packets transmitted. The determination of the total packet quantity transmitted by the present invention is based on the conditions of a node receiving a database update packet from a source head node and subsequently flooding the received packet, while node status as a head node or super node remains constant. Accordingly, a present invention head node initially transmits an update packet to its corresponding super node. The super node subsequently transmits the packet to the remaining associated  $N-2$  head nodes. Thus, the packet quantity for the present invention utilizing a unicast technique,  $P_{\text{update (unicast)}}$ , may be expressed as:

$$P_{\text{update (unicast)}} = 1+(N-2) = N-1.$$

When the present invention employs a broadcast technique, a first packet is transmitted from a head node to a corresponding super node, while a second packet is subsequently broadcasted from the super node to the remaining super or head nodes. Thus, the packet quantity for the broadcast technique,  $P_{\text{update (broadcast)}}$ , is equal to two, and may be expressed as follows:

$$P_{\text{update (broadcast)}} = 2.$$

A graphical illustration of the relationship between the total packet quantity and quantity of head nodes for the conventional approach and the hierarchical approach of the present

1 invention employing unicast and broadcast techniques is illustrated in Fig. 11. As shown in the  
2 figure, the present invention significantly reduces packet quantity relative to the conventional  
3 approach, especially as the quantity of network nodes increases. For example, when an  
4 exemplary network configuration includes ten head nodes, the corresponding packet quantity for  
5 the conventional approach is eighty-one, while the packet quantities for the present invention are  
6 nine for a three-tier architecture employing a unicast technique and two when employing the  
7 broadcast technique. Since clustering and routing are essential elements of self-organizing  
8 networks, such as those for ad hoc wireless communications, and since communication failure  
9 occurs in response to overhead consuming a significant portion of available bandwidth, the  
10 present invention reduces overhead traffic when flooding messages to thereby prevent  
11 communication failure and maintain a functioning network.

12 The present invention is not limited to the networks described herein, but may be applied  
13 to any static, mobile or wireless networks (e.g., commercial or military applications, ad hoc  
14 wireless network, etc.). Further, the present invention may be applied to any networks requiring  
15 self-organization (e.g., military applications), or those that dynamically determine potential  
16 routes for message transmission. Accordingly, the present invention has numerous commercial  
17 applications in various events (e.g., earthquake, fire, flood, rescue, criminal search, etc.) or within  
18 personal communication networks (e.g., within a campus). Moreover, the present invention may  
19 be applied in a cellular network, where a base station fails and a multi-hop wireless network is  
20 utilized to transmit data.

21 It will be appreciated that the embodiments described above and illustrated in the  
22 drawings represent only a few of the many ways of implementing a method and apparatus for  
23 communication network cluster formation and transmission of node link status messages with  
24 reduced protocol overhead traffic.

25 The communication networks employing the present invention nodes may include any  
26 quantity of those nodes or tiers. The present invention network nodes may be arranged to form  
27 any plural tier network configuration and may transmit information throughout that network  
28 configuration in the manner described above to reduce protocol overhead traffic. The network  
29 nodes may be arranged in any fashion into any quantity of clusters, cells or tiers each having any  
30 quantity of member nodes, head nodes and/or super nodes. The backbone network may include  
31 any quantity of head nodes, while communications within a cluster and between neighboring

1 cluster head and/or super nodes may utilize the same or different transmission frequencies. The  
2 network may include any quantity of nodes, head nodes and super nodes, where each node may  
3 have any quantity of neighboring nodes. The head and super nodes may respectively have any  
4 quantity of associated member and head nodes. The variables used herein (e.g., N, P, Q, L, W,  
5 Y, Z, etc.) merely describe network and data configurations, and do not limit the present  
6 invention to any particular configuration. The variables may be any type of number (e.g.,  
7 integer, real, etc.) having any desired value. The neighbor sets may include any information to  
8 identify neighboring nodes arranged in any fashion.

9 The formation of cells and designation of head and super nodes may be predetermined  
10 or accomplished dynamically via the technique described above. The nodes may communicate  
11 via any suitable communications medium (e.g., wired or wireless communication devices, etc.).  
12 The present invention node may include any quantity of conventional or other transmitters, where  
13 each transmitter may transmit signals at any suitable frequency and in any suitable energy form  
14 (e.g., radio signals, microwave, optical signals, etc.), and any quantity of conventional or other  
15 receivers, where each receiver may receive signals at any suitable frequency and in any suitable  
16 energy form (e.g., radio signals, microwave, optical signals, etc.). Alternatively, the present  
17 invention node may include any quantity of combined transmitting/receiving devices. The node  
18 identifier may include any quantity of any types of alphanumeric or other characters or symbols  
19 which provide the identification of a node within a sequence. The sequence may be conventional  
20 and known (e.g., numeric order, alphabetical order, etc.), or may be predetermined (e.g., created  
21 or constructed) and provided to the nodes.

22 The processor of the present invention node may be implemented by any conventional  
23 or other microprocessor, controller or circuitry to perform the functions described herein, while  
24 any quantity of processors or processing devices or circuitry may be employed within the present  
25 invention node where the processor functions may be distributed in any fashion among any  
26 quantity of modules, processors or other processing devices or circuits. The software for the  
27 processor of the present invention node may be implemented in any suitable computer language,  
28 and could be developed by one of ordinary skill in the computer and/or programming arts based  
29 on the functional description contained herein and the flow charts illustrated in the drawings.  
30 Further, any references herein of software performing various functions generally refer to  
31 processors performing those functions under software control. The software and/or algorithms

described above and illustrated in the flow charts may be modified in any manner that accomplishes the functions described herein. The present invention node may alternatively include any components arranged in any fashion to facilitate distribution of packets within the network in the manner described above.

The database update, node status and other packets or messages (e.g., acknowledgment, point-to-point message, broadcast message, etc.) may be of any size, may have any format, may contain any desired information and may be transmitted via any suitable transmission technique (e.g., unicast, broadcast, etc.). The node status packets may be transmitted at any suitable transmission rate or have any desired interval between transmissions. The initial interval between node status packet transmissions may be set to any desired value. This interval may be adjusted in response to any suitable conditions (e.g., neighbor quantity, expiration of timers, etc.). The interval adjustment offset may be set to any desired value or function to achieve transmission times producing an acceptable quantity of collisions for network operation. The offset may be distributed among nodes in any desired fashion via any suitable function (e.g., a uniform distribution function, etc.). The timers (e.g., periodic interval timer for accumulating information prior to transmission, etc.) may be implemented by any conventional or other timing mechanisms (e.g., processor clock, external hardware, software, etc.) and may be set to any desired intervals (e.g., fractions of seconds, seconds, minutes, hours, days, etc.) for their respective functions. Similarly, the counter (e.g., for node status packet transmissions, etc.) may be implemented by any conventional or other counting mechanisms (e.g., external hardware, software, etc.).

Cluster formation to determine head and member status may be initiated in response to any suitable conditions (e.g., transmission intervals, expiration of timers, etc.), while the threshold of node status packet transmissions may be set to any desired value. The head and super nodes may be identified in any manner that determines network nodes which are required to facilitate communications within the network (e.g., based on neighbor sets, shortest path techniques, node transmission ranges, etc.). The master node may be selected in any fashion and may subsequently determine head nodes via any conventional or other techniques. The head and super nodes may transmit any information in any manner (e.g., within any packets, etc.) to inform neighboring nodes of the head or super node designations. Similarly, the master node may transmit any information in any manner to inform nodes of their head node status. A member or head node having plural head or super nodes may select a corresponding head or super node

1 based on any desired criteria (e.g., strongest signal, connectivity, etc.).

2 The various messages may include any identifier to identify the type of message or  
3 packet. The node status and database update packets may be transmitted at any desired intervals  
4 and/or in response to any desired events or conditions. The flooding may utilize any unicast,  
5 broadcast or other transmission techniques either individually or in any combination, while any  
6 types of messages or other information (e.g., Rospf information, database synchronization,  
7 routing control information, etc.) may be flooded in the manner described above. The packets  
8 transmitted in the flooding process may include any quantity of accumulated information (e.g.,  
9 information received from any quantity of packets received by a node). Further, the flooded  
10 packets may include information received during particular time intervals, where the time  
11 interval and associated timer may be set to any desired values.

12 The communication network may employ any suitable intranet and/or internetworking  
13 communications protocols to facilitate reception, processing and transference of messages or  
14 packets within or external of the network. The present invention may be utilized within any  
15 intranet, internetworking or other protocol to transmit or flood messages within the network in  
16 accordance with that protocol. The node databases (e.g., routing, head link, etc.) may be  
17 implemented by any conventional database or other storage structure (e.g., processor memory,  
18 external memory, file, data structure (e.g., array, queue, stack, etc.), etc.) and may have any  
19 desired storage capacity to contain any desired information. The head link or other databases  
20 may be examined in any manner and utilize any conventional or other techniques to determine  
21 information missing from those databases.

22 It is to be understood that the present invention is not limited to the applications or  
23 networks described herein, but may be utilized for various communication applications or  
24 networks, especially those employing link-state based routing protocols. Further, the present  
25 invention may be applied to any applications requiring flooding of routing or any other  
26 information.

27 From the foregoing description it will be appreciated that the invention makes available  
28 a novel method and apparatus for communication network cluster formation and transmission  
29 of node link status messages with reduced protocol overhead traffic wherein network nodes  
30 crucial for relaying network traffic are designated as head nodes to form a hierarchical network  
31 configuration, while this technique is further applied to those designated head nodes to form a



multiple tier architecture for flooding information with reduced overhead traffic.

Having described preferred embodiments of a new and improved method and apparatus for communication network cluster formation and transmission of node link status messages with reduced protocol overhead traffic, it is believed that other modifications, variations and changes will be suggested to those skilled in the art in view of the teachings set forth herein. It is therefore to be understood that all such variations, modifications and changes are believed to fall within the scope of the present invention as defined by the appended claims.

WHAT IS CLAIMED IS:

1           1.       In a communications network having a plurality of communication units, wherein  
2 at least one of those units is designated as a routing unit for routing network traffic, a  
3 communication unit to transmit and receive messages within said network comprising:

4           a transmitter to transmit an outgoing message to each neighboring unit of said  
5 communication unit;

6           a receiver to receive an incoming message from said each neighboring unit;

7           a storage unit to store network connectivity information relating to said communication  
8 unit and corresponding neighboring units; and

9           a processor to control said transmission and reception of said outgoing and incoming  
10 messages, wherein said processor includes:

11           a configuration module to examine said network connectivity information and  
12 designate said communication unit as said routing unit in response to determining that said  
13 communication unit communicates with at least one neighboring unit that is isolated from  
14 communications with remaining neighboring units of said communication unit.

15           2.       The unit of claim 1 wherein said transmitter transmits said outgoing message in  
16 the form of radio signals.

17           3.       The unit of claim 1 wherein said receiver receives said incoming message in the  
18 form of radio signals.

19           4.       The unit of claim 1 wherein said processor further includes:  
20           a status transmission module to facilitate transmission of a unit status message at a  
21 periodic time interval, wherein said unit status message includes unit connectivity information  
22 relating to network connectivity of said communication unit; and

23           a status reception module to facilitate reception of said unit status message from said each  
24 neighboring unit and to update said connectivity information within said storage unit in  
25 accordance with unit connectivity information contained within each received unit status  
26 message.

1           5.       The unit of claim 4 wherein said processor further includes:  
2           an interval module to adjust said periodic time interval in response to detecting  
3 modifications in network connectivity indicated by said updated connectivity information within  
4 said storage unit.

1           6.       The unit of claim 5 wherein said interval module further includes:  
2           an interval adjustment module to increase said periodic time interval in response to  
3 determining that a quantity of neighboring units of said communication unit is equal to said  
4 neighboring unit quantity of an immediately preceding periodic time interval.

1           7.       The unit of claim 4 wherein said configuration module further includes:  
2           a transmission interval module to maintain a count of unit status message transmissions  
3 by said communications unit and to determine when a predetermined quantity of said unit status  
4 messages has been transmitted;  
5           an evaluation module to determine the presence of modifications to said connectivity  
6 information within said storage unit during said unit status message transmissions; and  
7           a unit status module to determine said status of said communication unit as said routing  
8 unit in response to an absence of modifications to said connectivity information as determined  
9 by said evaluation module.

1           8.       The unit of claim 7 wherein said unit status module further includes:  
2           a routing status module to designate said communication unit as said routing unit in  
3 response to determining that said communication unit communicates with at least one  
4 neighboring unit that is isolated from communications with remaining neighboring units of said  
5 communication unit;  
6           a master status module to designate said communication unit as a master unit in response  
7 to determining that said communication unit and each neighboring unit are in communication  
8 with the same units and said communication unit is associated with an identifier superior to  
9 identifiers of said neighboring units; and  
10          a member status module to designate said communication unit as a member unit of a  
11 corresponding routing unit in response to said master status module determining that said

12 communication unit and each neighboring unit are in communication with at least one different  
13 unit and said routing status module determining that said communication unit fails to qualify as  
14 said routing unit.

1 9. The unit of claim 8 wherein said master status module further includes:  
2 a routing unit selection module to determine said status of said neighboring units as said  
3 routing and member units in response to said communication unit being designated as said master  
4 unit; and  
5 a status transmission module to facilitate transmission of status information to  
6 neighboring designated routing units to inform those units of their designation as routing units  
7 by said communication unit serving as said master unit.

1 10. The unit of claim 1 wherein said configuration module further includes:  
2 a link storage unit to store connectivity information relating to routing units; and  
3 a routing unit configuration module to examine said network connectivity information  
4 within said link storage unit in response to said communication unit being designated as said  
5 routing unit and to designate said communication unit as a transmission routing unit in response  
6 to determining that said communication unit communicates with at least one neighboring routing  
7 unit that is isolated from communications with remaining neighboring routing units of said  
8 communication unit.

1 11. The unit of claim 10 wherein said transmission routing unit transmits update  
2 messages including network connectivity information, and said routing unit configuration module  
3 further includes:  
4 a message forwarding module to receive an update message from a neighboring  
5 transmission routing unit in response to said communication unit being designated as said  
6 transmission routing unit and to transmit said received message to neighboring routing units to  
7 facilitate synchronization of said link storage unit of each said routing unit.

1 12. The unit of claim 11 wherein said routing unit configuration module further  
2 includes:

3 an update module to receive an update message from a neighboring transmission routing  
4 unit in response to said communication unit being designated as said routing unit and to update  
5 said link storage unit with said connectivity information contained within said received update  
6 message;

7 a data integrity module to examine said network connectivity information within said link  
8 storage unit and determine information missing from said link storage unit in response to said  
9 update by said update module; and

10 a request module to request said neighboring transmission routing unit to transmit said  
11 missing information in response to said data integrity module determining that information is  
12 missing from said link storage unit.

1 13. The unit of claim 12 wherein said routing unit configuration module further  
2 includes:

3 a request processing module to receive said request from a neighboring routing unit in  
4 response to said communication unit being designated as a transmission routing unit and to  
5 process said received request to transmit information identified in said request to that  
6 neighboring routing unit.

1 14. The unit of claim 11 wherein said message forwarding module further includes:

2 a data accumulation module to accumulate information received within plural update  
3 messages and to transmit said accumulated information in the form of a single transmission to  
4 neighboring routing units to facilitate synchronization of said link storage unit of said each  
5 routing unit.

1 15. The unit of claim 11 wherein said message forwarding module further includes:

2 a timer to indicate expiration of periodic reception intervals; and

3 a data accumulation module to accumulate information received within each of said  
4 periodic reception intervals and to transmit said accumulated information of each periodic  
5 reception interval in the form of a single transmission to neighboring routing units at expiration  
6 of that periodic reception interval to facilitate synchronization of said link storage unit of said  
7 each routing unit.

1           16.     In a communications network having a plurality of communication units, wherein  
2     at least one of those units is designated as a routing unit for routing network traffic, a method of  
3     configuring a network communication unit to transmit and receive messages within said network  
4     comprising the steps of:

5           (a)     examining network connectivity information relating to said communication unit  
6     and corresponding neighboring units stored in a storage unit of said communication unit; and

7           (b)     designating said communication unit as said routing unit in response to  
8     determining that said communication unit communicates with at least one neighboring unit that  
9     is isolated from communications with remaining neighboring units of said communication unit.

1           17.     The method of claim 16 wherein said messages are transmitted in the form of  
2     radio signals.

3           18.     The method of claim 16 wherein step (a) further includes:

4           (a.1)   transmitting a unit status message at a periodic time interval, wherein said unit  
5     status message includes unit connectivity information relating to network connectivity of said  
6     communication unit; and

7           (a.2)   receiving said unit status message from said each neighboring unit and updating  
8     said connectivity information within said storage unit in accordance with unit connectivity  
9     information contained within each received unit status message.

1           19.     The method of claim 18 wherein step (a) further includes:

2           (a.3)   adjusting said periodic time interval in response to detecting modifications in  
3     network connectivity indicated by said updated connectivity information within said storage unit.

1           20.     The method of claim 19 wherein step (a.3) includes:

2           (a.3.1) increasing said periodic time interval in response to determining that a quantity  
3     of neighboring units of said communication unit is equal to said neighboring unit quantity of an  
4     immediately preceding periodic time interval.

1           21.     The method of claim 18 wherein step (b) further includes:

2 (b.1) maintaining a count of unit status message transmissions by said communications  
3 unit and determining when a predetermined quantity of said unit status messages has been  
4 transmitted;

5 (b.2) determining the presence of modifications to said connectivity information within  
6 said storage unit during said unit status message transmissions; and

7 (b.3) determining said status of said communication unit as said routing unit in  
8 response to an absence of modifications to said connectivity information as determined in step  
9 (b.2).

1 22. The method of claim 21 wherein step (b.3) further includes:

2 (b.3.1) designating said communication unit as said routing unit in response to  
3 determining that said communication unit communicates with at least one neighboring unit that  
4 is isolated from communications with remaining neighboring units of said communication unit;

5 (b.3.2) designating said communication unit as a master unit in response to determining  
6 that said communication unit and each neighboring unit are in communication with the same  
7 units and said communication unit is associated with an identifier superior to identifiers of said  
8 neighboring units; and

9 (b.3.3) designating said communication unit as a member unit of a corresponding routing  
10 unit in response to step (b.3.2) determining that said communication unit and each neighboring  
11 unit are in communication with at least one different unit and step (b.3.1) determining that said  
12 communication unit fails to qualify as said routing unit.

1 23. The method of claim 22 wherein step (b.3.2) further includes:

2 (b.3.2.1) determining said status of said neighboring units as said routing and  
3 member units in response to said communication unit being designated as said master unit; and

4 (b.3.2.2) transmitting status information to neighboring designated routing units to  
5 inform those units of their designation as routing units by said communication unit serving as  
6 said master unit.

1 24. The method of claim 16 further including:

2 (c) examining network connectivity information relating to routing units stored within

3 a link storage unit of said communication unit in response to said communication unit being  
4 designated as said routing unit; and

5 (d) designating said communication unit as a transmission routing unit in response  
6 to determining that said communication unit communicates with at least one neighboring routing  
7 unit that is isolated from communications with remaining neighboring routing units of said  
8 communication unit.

1 25. The method of claim 24 wherein said transmission routing unit transmits update  
2 messages including network connectivity information, and step (d) further includes:

3 (d.1) receiving an update message from a neighboring transmission routing unit in  
4 response to said communication unit being designated as said transmission routing unit and  
5 transmitting said received message to neighboring routing units to facilitate synchronization of  
6 said link storage unit of each said routing unit.

1 26. The method of claim 25 wherein step (d) further includes:

2 (d.2) receiving an update message from a neighboring transmission routing unit in  
3 response to said communication unit being designated as said routing unit and updating said link  
4 storage unit with said connectivity information contained within said received update message;

5 (d.3) examining said network connectivity information within said link storage unit and  
6 determining information missing from said link storage unit in response to said update by step  
7 (d.2); and

8 (d.4) requesting said neighboring transmission routing unit to transmit said missing  
9 information in response to step (d.3) determining that information is missing from said link  
10 storage unit.

1 27. The method of claim 26 wherein step (d) further includes:

2 (d.5) receiving said request from a neighboring routing unit in response to said  
3 communication unit being designated as a transmission routing unit and processing said received  
4 request to transmit information identified in said request to that neighboring routing unit.

1 28. The method of claim 25 wherein step (d.1) further includes:



(d.1.1) accumulating information received within plural update messages and transmitting said accumulated information in the form of a single transmission to neighboring routing units to facilitate synchronization of said link storage unit of said each routing unit.

29. The method of claim 25 wherein step (d.1) further includes:  
(d.1.1) indicating expiration of periodic reception intervals; and  
(d.1.2) accumulating information received within each of said periodic reception intervals and transmitting said accumulated information of each periodic reception interval in the form of a single transmission to neighboring routing units at expiration of that periodic reception interval to facilitate synchronization of said link storage unit of said each routing unit.

30. A communications network comprising:  
a plurality of communication units to transmit and receive messages within said network, wherein each said communication unit includes:  
a status transmission module to facilitate transmission of a unit status message at a periodic time interval;  
an interval module to adjust said periodic time interval in response to detecting modifications in network connectivity; and  
a configuration module to determine a status of that communication unit as a routing unit for routing network traffic or as a member unit of a corresponding routing unit in accordance with information contained within received unit status messages.

31. The network of claim 30 wherein said each communication unit transmits messages in the form of radio signals.

32. The network of claim 30 wherein said interval module further includes:  
an interval adjustment module to increase said periodic time interval in response to determining that a quantity of neighboring units of that communication unit is equal to said neighboring unit quantity of an immediately preceding periodic time interval.

33. In a communications network including a plurality of communication units to

transmit and receive messages within said network, a method of transmitting and receiving messages comprising the steps of:

(a) transmitting a unit status message from each communication unit at a corresponding periodic time interval;

(b) adjusting said periodic time interval in response to a corresponding communication unit detecting modifications in network connectivity; and

(c) determining a status of said each communication unit as a routing unit for routing network traffic or as a member unit of a corresponding routing unit in accordance with information contained within received unit status messages.

34. The method of claim 33 wherein said each communication unit transmits messages in the form of radio signals.

35. The method of claim 33 wherein step (b) further includes:

(b.1) increasing said periodic time interval in response to determining that a quantity of neighboring units of a corresponding communication unit is equal to said neighboring unit quantity of an immediately preceding periodic time interval.

36. A communications network comprising:

a plurality of communication units forming a first network tier to transmit and receive messages within said network, wherein at least one of said communication units is designated as a routing unit to form a second network tier to route network traffic and at least one of said designated routing units is designated as a transmission routing unit to form a third network tier to transmit network information throughout said second and third network tiers, and wherein each said communication unit includes:

a configuration module to determine a status of that communication unit as said routing unit for routing network traffic or as a member unit of a corresponding routing unit; and

a routing unit configuration module to determine a status of that communication unit as a transmission routing unit in response to that communication unit being designated as said routing unit.

1           37.    The network of claim 36 wherein said each communication unit transmits  
2 messages in the form of radio signals.

1           38.    The network of claim 36 wherein said configuration module further includes a unit  
2 designation module to examine network connectivity information relating to that communication  
3 unit and to designate that communication unit as said routing unit in response to that  
4 communication unit communicating with at least one neighboring unit that is isolated from  
5 communications with remaining neighboring units of that communication unit.

1           39.    The network of claim 36 wherein said routing unit configuration module further  
2 includes a routing unit designation module to examine network connectivity information relating  
3 to designated routing units stored within a link storage unit of that communication unit and to  
4 designate that communication unit as a transmission routing unit in response to that  
5 communication unit communicating with at least one neighboring routing unit that is isolated  
6 from communications with remaining neighboring routing units of that communication unit.

1           40.    The network of claim 39 wherein said transmission routing unit transmits update  
2 messages including network connectivity information, and said routing unit configuration module  
3 further includes:

4           a message forwarding module to receive an update message from a neighboring  
5 transmission routing unit in response to that communication unit being designated as said  
6 transmission routing unit and to transmit said received message to neighboring routing units of  
7 that communication unit to facilitate synchronization of said link storage unit of each said routing  
8 unit.

1           41.    The network of claim 40 wherein said routing unit configuration module further  
2 includes:

3           an update module to receive an update message from a neighboring transmission routing  
4 unit in response to that communication unit being designated as said routing unit and to update  
5 said link storage unit of that communication unit with said connectivity information contained  
6 within said received update message;

7 a data integrity module to examine said network connectivity information within a link  
8 storage unit of that communication unit and determine information missing from that link storage  
9 unit in response to said update by said update module; and

10 a request module to request said neighboring transmission routing unit to transmit said  
11 missing information in response to said data integrity module determining that information is  
12 missing from said link storage unit of that communication unit.

1 42. The unit of claim 41 wherein said routing unit configuration module further  
2 includes:

3 a request processing module to receive said request from a neighboring routing unit in  
4 response to that communication unit being designated as a transmission routing unit and to  
5 process said received request to transmit information identified in said request to that  
6 neighboring routing unit.

7 43. The network of claim 40 wherein said message forwarding module further  
8 includes:

9 a data accumulation module to accumulate information received within plural update  
10 messages and to transmit said accumulated information in the form of a single transmission to  
11 neighboring routing units of that communication unit to facilitate synchronization of said link  
12 storage unit of said each routing unit.

1 44. The network of claim 40 wherein said message forwarding module further  
2 includes:

3 a timer to indicate expiration of periodic reception intervals; and

4 a data accumulation module to accumulate information received within each of said  
5 periodic reception intervals and to transmit said accumulated information of each periodic  
6 reception interval in the form of a single transmission to neighboring routing units of that  
7 communication unit at expiration of that periodic reception interval to facilitate synchronization  
8 of said link storage unit of said each routing unit.

1 45. In a communications network including a plurality of communication units

forming a first network tier to transmit and receive messages within said network, wherein at least one of said communication units is designated as a routing unit to form a second network tier to route network traffic and at least one of said designated routing units is designated as a transmission routing unit to form a third network tier to transmit network information throughout said second and third network tiers, a method of configuring said network including the steps of:

(a) determining a status of each communication unit as said routing unit for routing network traffic or as a member unit of a corresponding routing unit; and

(b) determining a status of each communication unit as said transmission routing unit to transmit said network information throughout said second and third network tiers in response to that communication unit being designated as said routing unit.

46. The method of claim 45 wherein said each communication unit transmits messages in the form of radio signals.

47. The method of claim 45 wherein step (a) further includes:

(a.1) examining network connectivity information relating to each communication unit and designating as said routing unit each communication unit communicating with at least one neighboring unit isolated from communications with remaining neighboring units of that communication unit.

48. The method of claim 45 wherein step (b) further includes:

(b.1) examining network connectivity information relating to designated routing units and stored within a link storage unit of said each communication unit and designating as said transmission routing unit each communication unit that communicates with at least one neighboring routing unit isolated from communications with remaining neighboring routing units of that communication unit.

49. The method of claim 48 wherein said transmission routing unit transmits update messages including network connectivity information, and step (b) further includes:

(b.2) receiving an update message from a corresponding neighboring transmission routing unit at each communication unit designated as said transmission routing unit and

transmitting said received message to neighboring routing units of that communication unit to facilitate synchronization of said link storage unit of each said routing unit.

50. The method of claim 49 wherein step (b) further includes:

(b.3) receiving an update message from a corresponding neighboring transmission routing unit at each communication unit designated as said routing unit and updating said link storage unit of that communication unit with said connectivity information contained within said received update message;

(b.4) examining said network connectivity information within said link storage unit of each communication unit and determining information missing from that link storage unit in response to said update by said update module; and

(b.5) requesting said corresponding neighboring transmission routing unit of each communication unit designated as said routing unit to transmit said missing information in response to said data integrity module determining that information is missing from a link storage unit of that communication unit.

51. The method of claim 50 wherein step (b) further includes:

(b.6) receiving at each communication unit designated as said transmission routing unit said request from a corresponding neighboring routing unit and processing said received request to transmit information identified in said request to that neighboring routing unit.

52. The method of claim 49 wherein step (b.2) further includes:

(b.2.1) accumulating information received within plural update messages at each communication unit designated as said transmission routing unit and transmitting said accumulated information in the form of a single transmission to corresponding neighboring routing units of that communication unit to facilitate synchronization of said link storage unit of said each routing unit.

53. The method of claim 49 wherein step (b.2) further includes:

(b.2.1) indicating expiration of periodic reception intervals; and

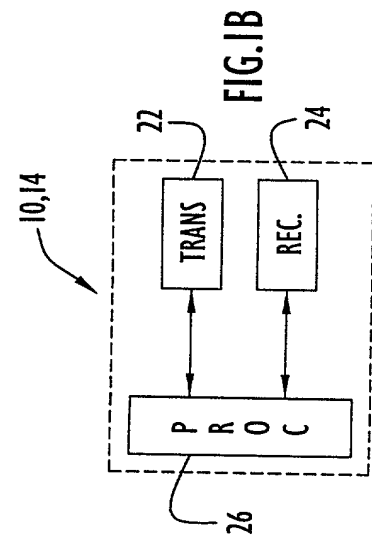
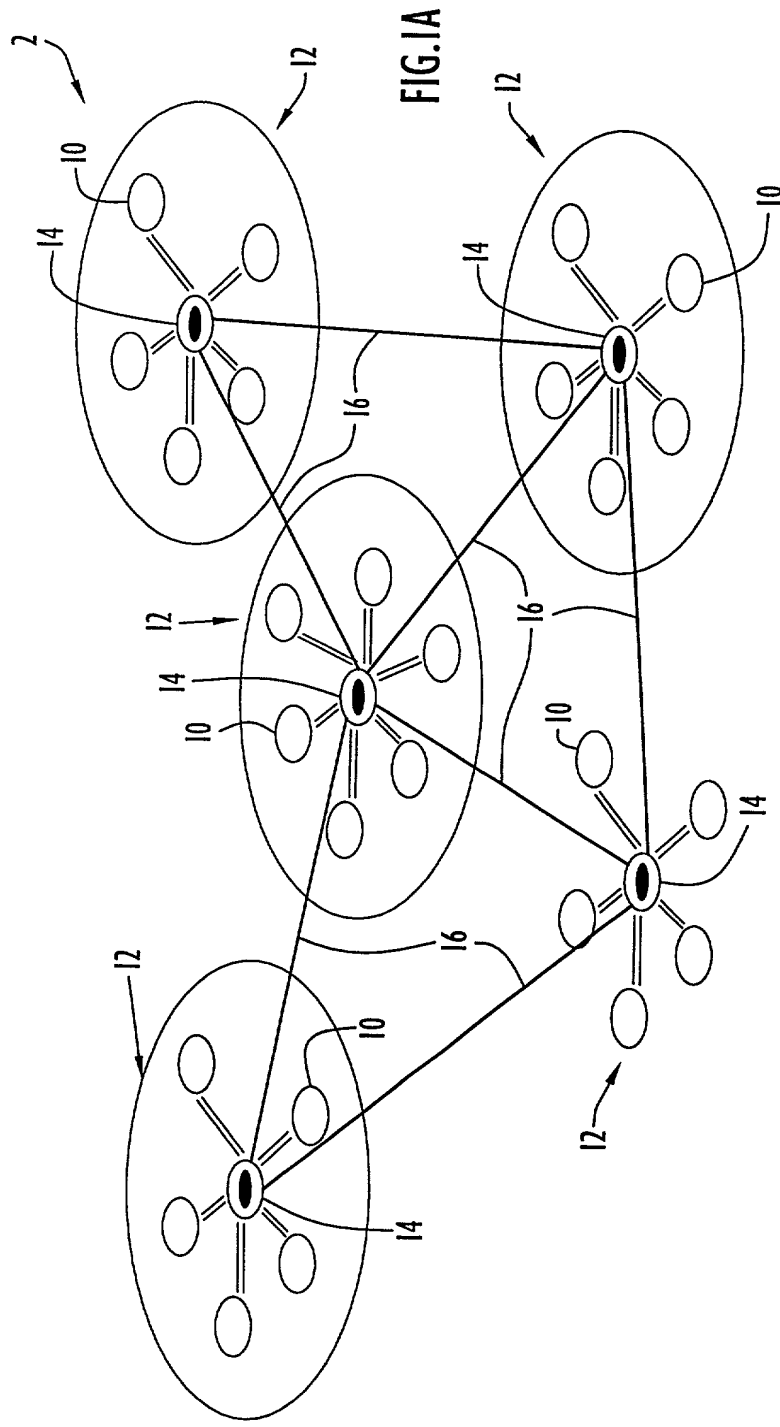
(b.2.2) accumulating information received within each of said periodic reception intervals

4 at each communication unit designated as said transmission routing unit and transmitting said  
5 accumulated information of each periodic reception interval in the form of a single transmission  
6 to corresponding neighboring routing units of that communication unit at expiration of that  
7 periodic reception interval to facilitate synchronization of said link storage unit of said each  
8 routing unit.

## ABSTRACT

1           The present invention facilitates cluster formation within a communications network by  
2 utilizing network topology information to designate network nodes that are crucial for relaying  
3 traffic as cluster head nodes, while remaining network nodes are designated as member nodes.  
4 A beacon packet transmission rate of a network node or the interval between successive beacon  
5 packet transmissions by that node is adjusted by the present invention to facilitate cluster  
6 formation independent of network size and varying initial start times of network nodes. In  
7 addition, the present invention utilizes the above described cluster formation technique to form  
8 a three tier architecture for transmission or flooding of routing information from head node  
9 databases throughout the network. The cluster formation technique is applied to cluster head  
10 nodes to form an additional network tier of super nodes that distribute routing information, while  
11 cluster head nodes route network data traffic. The databases of cluster head nodes are examined  
12 subsequent to flooding of head node database information by super nodes, where data missing  
13 from a head node database is requested from a corresponding super node, thereby eliminating  
14 transmissions of acknowledgment messages.





**START**

POWER  
ON

## INITIAL BEACON SCHEDULING

NO INTERVAL  
EXPIRE  
?

TRANSMIT  
BEACON

QUANTITY OF  
NEIGHBORS REMAIN  
THE SAME  
?

YES

INTERVAL  
INCREASED

$t_{k+1} = t_k + \text{UNIFORM}(\delta)$   
 $T_{k+1} = T_k + \delta$

**INTERVAL UNCHANGED**

$T_{k+1} = T_k$

$t_{k+1} = t_k + T_k$

```

graph LR
    Start([START]) --> Read[READ]
    Read --> Done{DONE?}
    Done -- NO --> Read
    Done -- YES --> Print[PRINT]
    Print --> Stop([STOP])
  
```

END

**FIG.2**

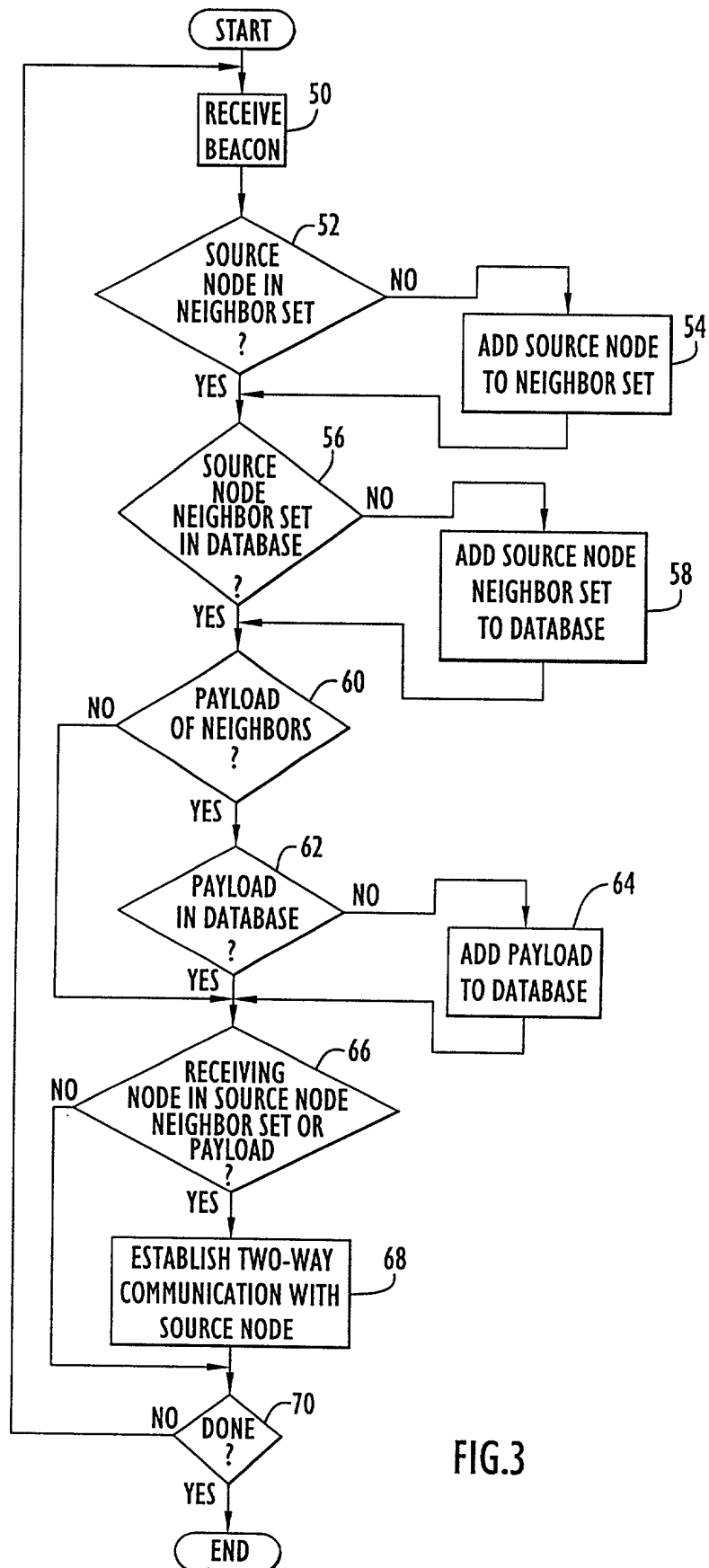
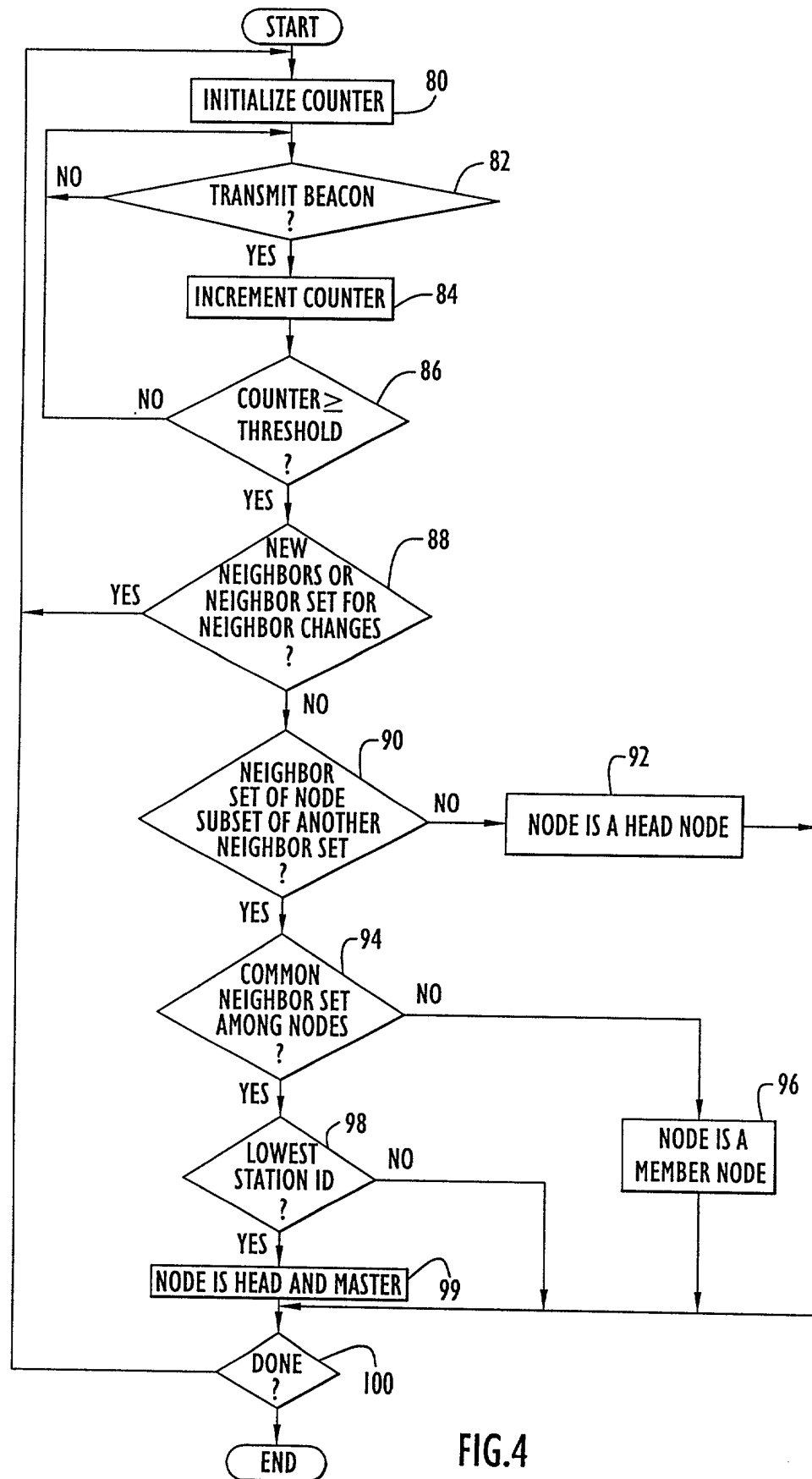
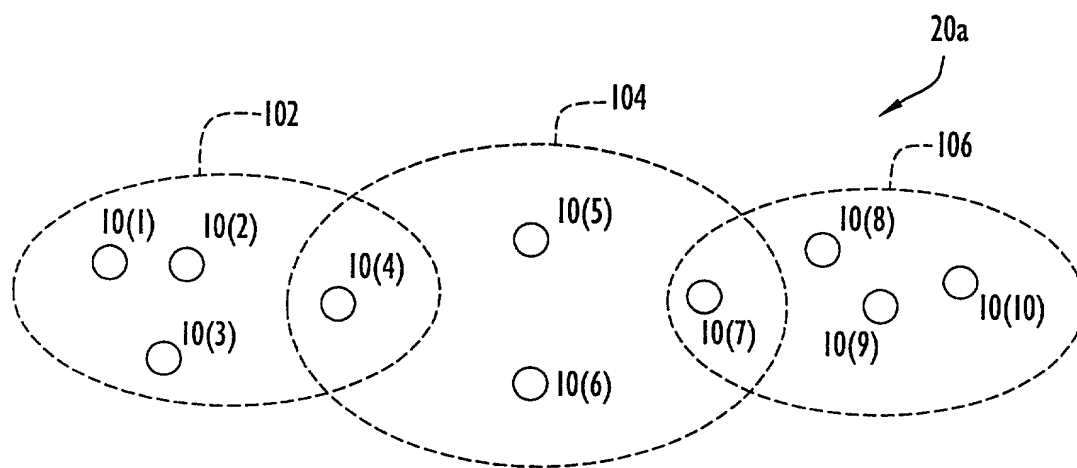
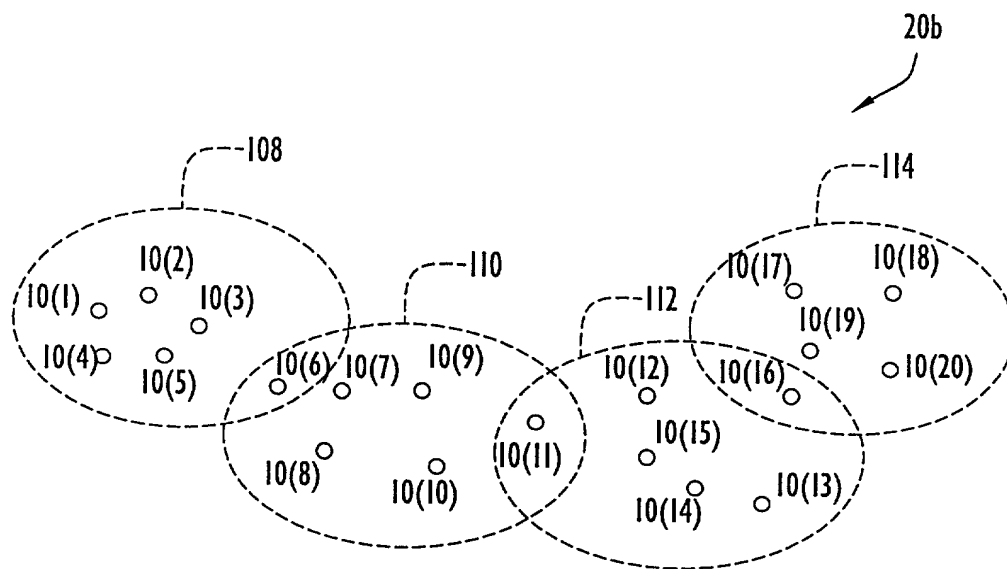


Table 1. <i>Continued</i>	
1990	1991
1992	1993
1994	1995
1996	1997
1998	1999
2000	2001
2002	2003
2004	2005
2006	2007
2008	2009
2010	2011
2012	2013
2014	2015
2016	2017
2018	2019
2020	2021
2022	2023
2024	2025
2026	2027
2028	2029
2030	2031
2032	2033
2034	2035
2036	2037
2038	2039
2040	2041
2042	2043
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2046	2047
2048	2049
2050	2051
2052	2053
2054	2055
2056	2057
2058	2059
2060	2061
2062	2063
2064	2065
2066	2067
2068	2069
2070	2071
2072	2073
2074	2075
2076	2077
2078	2079
2080	2081
2082	2083
2084	2085
2086	2087
2088	2089
2090	2091
2092	2093
2094	2095
2096	2097
2098	2099
2100	2101
2102	2103
2104	2105
2106	2107
2108	2109
2110	2111
2112	2113
2114	2115
2116	2117
2118	2119
2120	2121
2122	2123
2124	2125
2126	2127
2128	2129
2130	2131
2132	2133
2134	2135
2136	2137
2138	2139
2140	2141
2142	2143
2144	2145
2146	2147
2148	2149
2150	2151
2152	2153
2154	2155
2156	2157
2158	2159
2160	2161
2162	2163
2164	2165
2166	2167
2168	2169
2170	2171
2172	2173
2174	2175
2176	2177
2178	2179
2180	2181
2182	2183
2184	2185
2186	2187
2188	2189
2190	2191
2192	2193
2194	2195
2196	2197
2198	2199
2200	2201
2202	2203
2204	2205
2206	2207
2208	2209
2210	2211
2212	2213
2214	2215
2216	2217
2218	2219
2220	2221
2222	2223
2224	2225
2226	2227
2228	2229
2230	2231
2232	2233
2234	2235
2236	2237
2238	2239
2240	2241
2242	2243
2244	2245
2246	2247
2248	2249
2250	2251
2252	2253
2254	2255
2256	2257
2258	2259
2260	2261
2262	2263
2264	2265
2266	2267
2268	2269
2270	2271
2272	2273
2274	2275
2276	2277
2278	2279
2280	2281
2282	2283
2284	2285
2286	2287
2288	2289





**FIG.5**



**FIG.6**



Diagram illustrating a hierarchical structure (200) with three tiers:

- THIRD TIER (170):** Contains a single node labeled 15(6).
- SECOND TIER (160):** Contains three nodes labeled 14(3), 14(6), and 14(9).
- FIRST TIER (150):** Contains eleven nodes labeled 10(1) through 10(11).

Connections are shown between tiers:

- Node 14(3) is connected to node 10(2).
- Node 14(6) is connected to node 10(6).
- Node 14(9) is connected to node 10(9).
- Node 15(6) is connected to node 14(6).

**FIG.8**

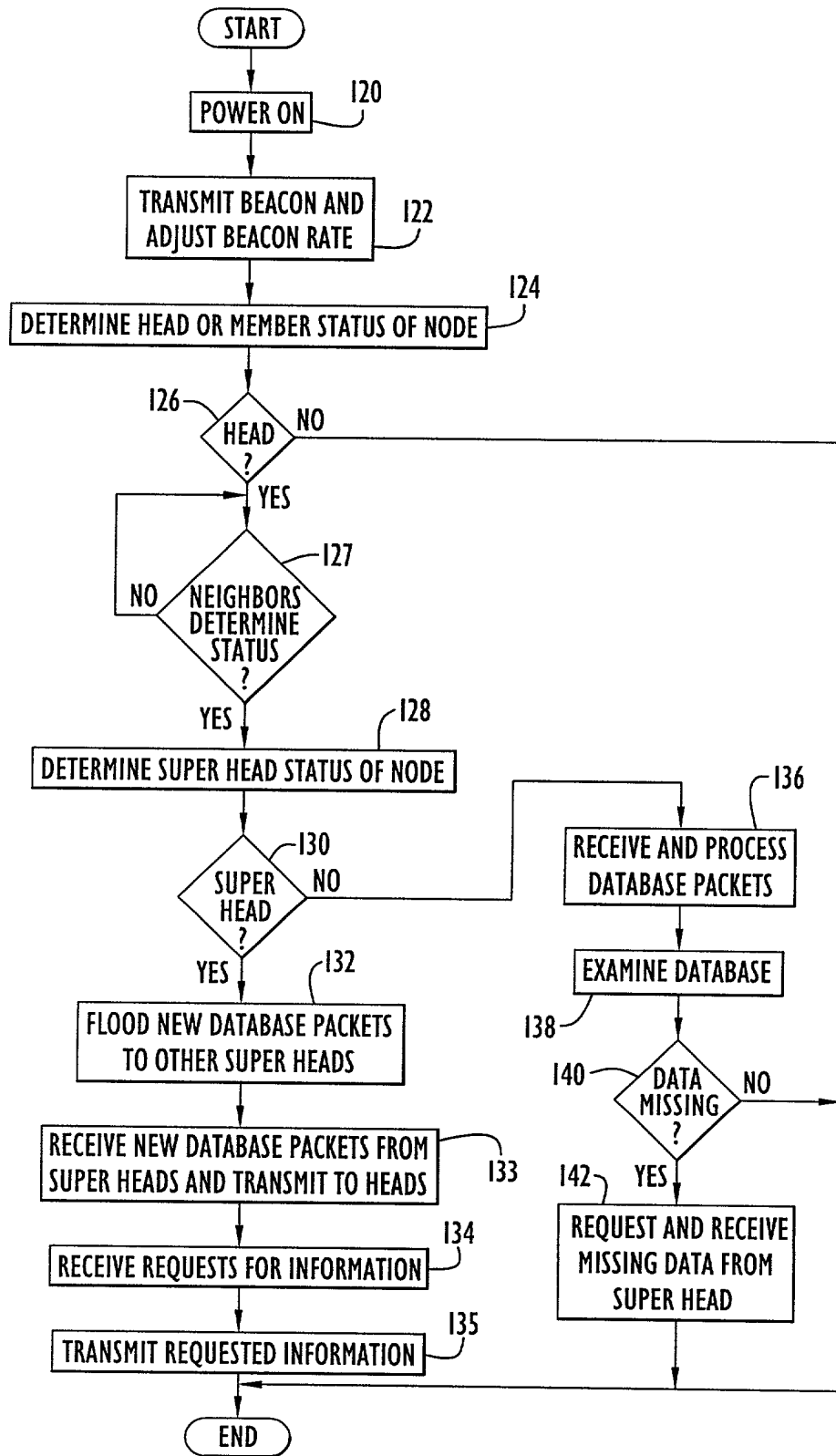


FIG.9



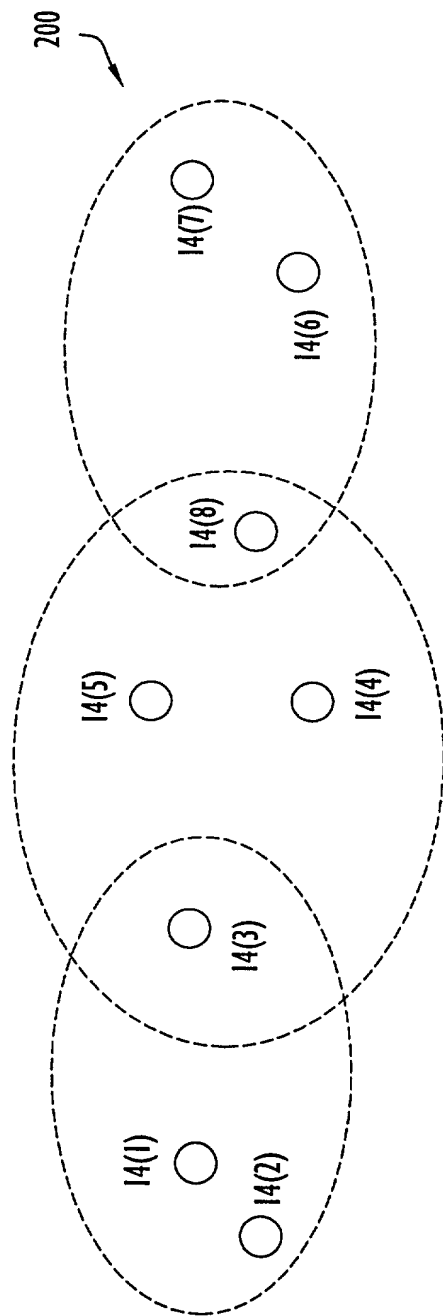
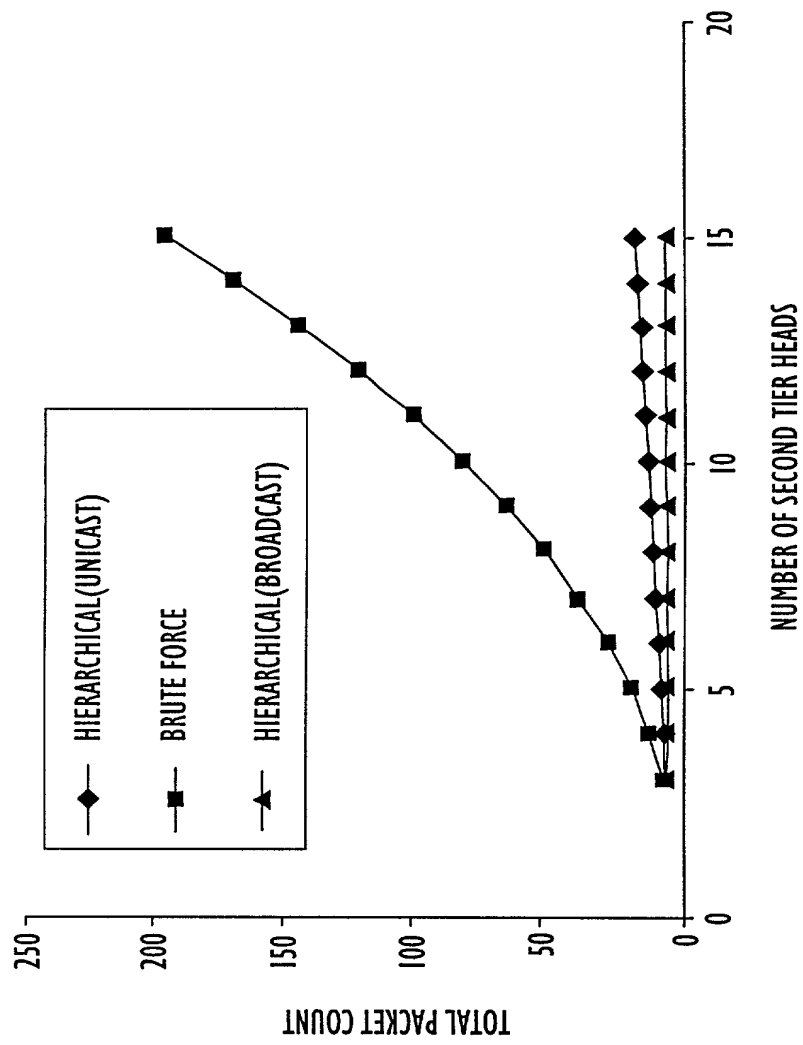


FIG.10



**FIG. 11**

## (Patent, Design or C-I-P Application)

My residence, post office, address and citizenship are as stated below next to my name

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are stated below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Method and Apparatus for Communication Network Cluster Formation and Transmission of Node Link Status Messages with Reduced Protocol Overhead Traffic**, the specification of which

  X   is attached hereto  
       was filed on        as Application Serial No.        and was amended on       

I hereby state that I have reviewed and understand the contents of the above-entitled specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

I hereby claim foreign priority benefits under Title 35 United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

COUNTRY	APPLICATION NO.	DATE OF FILING	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			Yes No

LISTING OF FOREIGN APPLICATIONS CONTINUED ON PAGE 2 HEREOF YES NO X

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

<u>60/164,955</u>	<u>November 12, 1999</u>
(Application Serial No.)	(Filing Date)
<u>60/164,942</u>	<u>November 12, 1999</u>
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first page of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT International filing date of this application

(Filing Date)

(Status)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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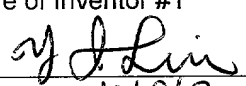
# DECLARATION AND POWER OF ATTORNEY

(Patent, Design or C-I-P Application)

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FULL NAME OF INVENTOR #3	LAST NAME:	FIRST NAME:	MIDDLE NAME:
RESIDENCE & CITIZENSHIP	CITY:	STATE OR FOREIGN COUNTRY:	COUNTRY OF CITIZENSHIP:
POST OFFICE ADDRESS	POST OFFICE ADDRESS:	CITY:	STATE OR COUNTRY AND ZIP CODE:

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor #1 	Signature of Inventor #2	Signature of Inventor #3
Date: 11/9/2000	Date:	Date: